THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12230

New York State Archives
Tel. 518-474-6926

To: Local Government Officials
From: Geoffrey A. Huth, Director, Government Records Services
Subject: *Records Retention and Disposition Schedule MI-1*
Date: June 15, 2011

*Records Retention and Disposition Schedule MI-1*, last revised in 2006, contains the following advice in the Introduction regarding retaining records beyond their legal minimum retention periods for legal actions:

> Some records may be needed to defend the local government in legal actions. Records that are being used in such actions must be retained for the entire period of the action even if their retention period has passed. **If the retention period has expired by the time the legal action ends, the record must be retained for at least one additional year** to resolve any need for the record in an appeal. If the retention period has **not** expired, the record must be retained for the remainder of the retention period, but not less than one year after the legal action ends. Prior to disposing of records, local officials may wish to consult with their county attorney to verify that no legal actions have been initiated which would require longer retention of the records.

On April 1, 2007, Chapter 13 of the State Finance Law, known as the "False Claims Act," went into effect. The law allows a local government to bring a civil action to recover financial losses from a fraudulent claim in triplicate, and in addition allows a private citizen with inside knowledge of such fraud to receive up to 30% of the proceeds. The broad scope of this statute covers almost any false claim or statement that involves a demand for payment from the local government or which deprives the government of revenues. Section 192 of this statute permits any legal action to be commenced "no later than ten years after the date on which the violation of this article is committed." This legal requirement may require that certain records covered by this schedule be retained for longer than their stated legal minimum retention periods, in some cases up to 10 years. This longer retention may not only involve specific records covered by items found in the Fiscal section, but also other records found throughout the schedule needed for supplementary documentation. In instances involving potential actions under the "False Claims Act," local officials may wish to consult with their attorney to verify whether any specific records warrant longer retention.

The New York State Archives intends to include this additional language in the Introduction of future editions of the *Schedule MI-1*. I invite you to contact my office or the State Archives' Regional Advisory Officer (RAO) in your region if you have any questions about how this statute affects the use of *Schedule MI-1*.

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12230

New York State Archives
Tel. 518-474-6926

To: Local Government Officials
From: Geoffrey A. Huth, Director, Government Records Services
Subject: *Records Retention and Disposition Schedule MI-1*
Date: May 16, 2011

*Records Retention and Disposition Schedule MI-1*, last revised in 2006, includes an item, Records filed by contractor or sub-contractor with local government related to public works project, in the Public Property and Equipment section. This item, #789, in the current version of the *Schedule MI-1*, authorizes records destruction three years after contract completion.

The Laws of 2008 (Chapter 8) effectively revised Section 220 (3-a) of the Labor Law upon which the retention and disposition of this contractor records item was based. The revised law lengthens the retention period of contractor records to five years after contract completion. To avoid premature destruction of these records, government officials should cease destroying records as authorized by the relevant item and should instead follow the indicated retention period prescribed by law and by the proposed new item below. The New York State Archives intends to revise this item in future editions of the *Schedule MI-1*.

The proposed revision of the item is as follows:

> [ ] **Records filed by contractor or sub-contractor with local government related to public works project**, pursuant to Section 220 (3-a), Labor Law, including but not limited to copy or abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification:
>
> **RETENTION:** 5 years after contract completion

Please be aware that the proposed revisions are tentative until they are formally approved. I invite you to contact my office or the State Archives' Regional Advisory Officer (RAO) in your region if you have any questions about the *Schedule MI-1* or comments on the proposed revision.

# *RECORDS RETENTION AND DISPOSITION SCHEDULE MI-1*

Section 185.14, *8NYCRR* (Appendix K)

## FOR USE BY

**MISCELLANEOUS LOCAL GOVERNMENTS**

**The University of the State of New York**
**THE STATE EDUCATION DEPARTMENT**
**New York State Archives**
**1988, revised 2006**

Rev. 2006

# THE UNIVERSITY OF THE STATE OF NEW YORK


**Regents of The University**

ROBERT M. BENNETT, *Chancellor*, B.A., M.S. ..... Tonawanda
ADELAIDE L. SANFORD, *Vice Chancellor*, B.A., M.A., P.D. ..... Hollis
SAUL B. COHEN, B.A., M.A., Ph.D. ..... New Rochelle
JAMES C. DAWSON, A.A., B.A., M.S., Ph.D. ..... Peru
ANTHONY S. BOTTAR, B.A., J.D. ..... North Syracuse
MERRYL H. TISCH, B.A., M.A., Ed.D. ..... New York
GERALDINE D. CHAPEY, B.A., M.A., Ed.D. ..... Belle Harbor
ARNOLD B. GARDNER, B.A., LL.B. ..... Buffalo
HARRY PHILLIPS, 3rd, B.A., M.S.F.S. ..... Hartsdale
JOSEPH E. BOWMAN, JR., B.A., M.L.S., M.A., M.Ed., Ed.D. ..... Albany
LORRAINE A. CORTÉS-VÁZQUEZ, B.A., M.P.A. ..... Bronx
JAMES R. TALLON, JR., B.A., M.A. ..... Binghamton
MILTON L. COFIELD, B.S., M.B.A., Ph.D. ..... Rochester
JOHN BRADEMAS, B.A., Ph.D. ..... New York
ROGER B. TILLES, B.A., J.D. ..... Great Neck

**President of The University and Commissioner of Education**
RICHARD P. MILLS

**Deputy Commissioner for Cultural Education**
CAROLE F. HUXLEY

**Assistant Commissioner**
CHRISTINE W. WARD

**Acting Director, Government Records Services**
GEOFFREY A. HUTH


---


The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Portions of this publication can be made available in a variety of formats, including braille, large print or audio tape, upon request. Inquiries concerning this policy of nondiscrimination should be directed to the Department's Office for Diversity, Ethics, and Access, Room 530, Education Building, Albany, NY 12234.



REV. 2006

# CONTENTS

**Introduction** ..... **vii**
Purpose ..... vii
Adoption and Use of the Schedule ..... vii
Previous Schedules Superseded ..... vii
Archival Records ..... viii
Appraising Records for Historical or Research Significance ..... viii
Records Created Before 1910 ..... ix
Coverage ..... x
Records of Local Governments Where Disposition is Governed by Specific Laws ..... xi
Canceled Obligations ..... xi
Records of Miscellaneous Local Governments Located in New York City ..... xii
Records of the New York City Board of Elections ..... xii

**How to Use *Schedule MI-1*** ..... **xii**
Adoption of *Schedule MI-1* and Request for Additional Copies ..... xii
Arrangement of Items on the Schedule ..... xiii
New or Revised Items ..... xiii
Unique Item Numbering System ..... xiii
Interpreting Schedule Items ..... xiii
Legal Actions ..... xiv
Additional Retention Requirement in Commissioner's Regulations ..... xiv
Audits ..... xv
Records That Have Been Microfilmed or Electronically Duplicated ..... xv
Electronic Records ..... xv
Public Access to Records ..... xvi

**Suggestions for Records Disposition** ..... **xvii**

**Reminders** ..... **xviii**

**Model Resolution** ..... **xx**

**More Information** ..... **xx**

**Records Descriptions and Retention Periods** ..... **1**
General ..... 1
Archives/Records Management ..... 10
Attorney or Counsel ..... 12
Building and Property Regulation ..... 13
Building/Property History Systems ..... 13
Building and Construction (Regulation and Inspection) ..... 15
Planning ..... 18
Zoning ..... 21
Community College ..... 23

Academic Affairs ..... 23
Alumni ..... 25
Athletics ..... 25
Counseling Services ..... 27
Development ..... 27
Disabled Students ..... 28
Financial Aid ..... 28
Fiscal ..... 28
Housing ..... 29
Instruction ..... 29
Miscellaneous ..... 30
President ..... 33a
Student Records ..... 33a
Community Development/Urban Renewal ..... 34
Cooperative Extension Association ..... 36
Basic Administrative Records ..... 36
Food and Nutrition Education Programs ..... 37
Miscellaneous ..... 38
Disaster Preparedness ..... 40
Economic/Industrial Development ..... 41
Educational Opportunity Center ..... 42
Election ..... 46
Electric and Gas Utility ..... 49
Electronic Data Processing ..... 52
General Administration ..... 52
Systems and Application Development ..... 53
Computer Operations and Technical Support ..... 54
Data Administration ..... 59
User/Office Automation Support ..... 59
Network/Data Communication Services ..... 60
Internet Services ..... 61
Energy ..... 62
Environmental Health ..... 63
Animal Industry and Veterinary Medicine ..... 63
Miscellaneous ..... 63
Environmental Facilities: General ..... 65
Environmental Facilities: Public Water Supply ..... 69
Environmental Facilities: Wastewater Treatment ..... 72
Environmental Facilities: Solid Waste Management Facilities ..... 75
Environmental Management ..... 80
Executive, Manager, and/or Administrator ..... 82
Fiscal ..... 83
Audit ..... 83
Banking and Investment ..... 83
Bonds and Notes ..... 84
Budget ..... 85

Claims and Warrants ..... 86
General Accounting and Miscellaneous ..... 87
Payroll ..... 90
Purchasing ..... 93
Reports ..... 95
Heritage Area (Urban Cultural Park) ..... 96
Human Rights/Economic Opportunity ..... 98
Insurance ..... 99
Library/Library System ..... 101
Local Development Corporation ..... 103
Miscellaneous ..... 105
Museum ..... 109
Off-Track Betting Corporation ..... 110
Personnel/Civil Service ..... 112
Personnel ..... 112
Civil Service ..... 120
Port Facility ..... 125
Public Access to Records ..... 126
Public Employment and Training ..... 127
Public Health ..... 128
General ..... 128
Fiscal ..... 128
Facility and Patient Services ..... 129
Patient Case Records and Related Materials ..... 132
Laboratory ..... 135
Radiological Health ..... 140
Miscellaneous ..... 142
Public Property and Equipment ..... 147
Public Safety ..... 162
E-911 and Related Records ..... 162
Computer-Aided Dispatch ..... 164
Public Safety: General ..... 166
Emergency Medical Services ..... 170
Fire Fighting and Prevention ..... 172
Law Enforcement: General ..... 175
Law Enforcement: Personal Property ..... 180
Law Enforcement: Firearms ..... 181
Law Enforcement: Motor Vehicles ..... 182
Law Enforcement: Incarceration ..... 184
Law Enforcement: Miscellaneous ..... 186
Law Enforcement: N.Y.S.P.I.N. and Related Records ..... 190
Recreation ..... 192
Parks, Recreational Programs and Civic Centers ..... 192
Mental Retardation and Developmental Disabilities (M.R.& D.D.) Recreational Programs ..... 194
Camps ..... 194

Regional Market Authority ..... 197
Soil and Water Conservation District ..... 198
Taxation and Assessment ..... 200
Valuation and Assessment ..... 200
Assessment Roll/Tax Roll ..... 200
Tax Collection ..... 201
Miscellaneous ..... 202
Transportation and Engineering ..... 203
Airport ..... 203
Highway, Engineering, and Public Works ..... 206
Public Transportation System ..... 215
Toll Bridge or Toll Road ..... 220
Youth Services ..... 221

**Index ..... 222**

# INTRODUCTION

## Purpose

This revised Records Retention and Disposition Schedule indicates the minimum length of time that local officials must retain their records before they may be disposed of legally. It is a revised edition of *Records Retention and Disposition Schedule MI-1*, originally issued in 1988, and revised since then. It has been prepared and issued by the State Archives, State Education Department, pursuant to Section 57.25 of the Arts and Cultural Affairs Law, and Part 185, Title 8 of the *Official Compilation of Codes, Rules and Regulations of the State of New York*.

The purposes of this Schedule are to:

(1) ensure that records are retained as long as needed for administrative, legal and fiscal purposes;

(2) ensure that state and federal record retention requirements are met;

(3) ensure that record series with enduring historical and other research value are identified and retained permanently; and

(4) encourage and facilitate the systematic disposal of unneeded records.

## Adoption and Use of the Schedule

Before records disposition takes place, this Schedule must be formally adopted by resolution of the governing body. Adoption procedures are explained in the Instructions. If your governing body has already adopted *Schedule MI-1* (1988) by resolution, then you **do not need to adopt the Schedule again** in order to use this revised edition, even though there are major changes between this edition and the previous edition of the Schedule. Once the Schedule has been adopted, local officials may proceed to dispose of records that have met the retention periods specified on the Schedule.

## Previous Schedules Superseded

*Records Retention and Disposition Schedule MI-1* supersedes and replaces all Records Retention and Disposition Schedules previously issued by the State Archives for use by miscellaneous local governments: *4-P-1*, *4-P-1A*, *4-P-1B*, *16-OTB-1*, *20-Lib-1*, *23-H-2*, and *24-CSP-2*. **The consent of the Commissioner of Education to use these schedules is withdrawn, and they may not be used to dispose of records.** The governing body must adopt *Records Retention and Disposition Schedule MI-1* in order to dispose of any records. *Records Retention and Disposition Schedule CC-1* (issued in 1988 for use by community colleges) is no longer valid. Counties with

single sponsorship of a community college should use *Schedule CO-2* instead of *Schedule MI-1*.

## Archival Records

Archival records are records that governments must keep permanently to meet fiscal, legal, or administrative needs of the government or which the government retains because they contain historically significant information. Records do not have to be old to be archival; local officials create and use archival records daily in offices. What makes a record worthy of permanent retention and special management is the continuing importance of the information it contains.

When the State Archives has determined that a record series has enduring historical or other research significance for all local governments, the series has been given a permanent designation on the Schedule. Other record series which may have historical or research significance in some local governments but not in others have an appraisal note to encourage local officials to evaluate the records to determine their importance before disposition. However, the State Archives cannot identify all record series with historical or research significance for individual local governments. Knowledge of people, places, or events in each community and the unique circumstances of each government will determine which records are significant. **Local officials will need to appraise records with nonpermanent retention periods for potential research or historical value before destroying them.**

The usefulness of archival records depends on the government's ability to preserve them, retrieve the information they contain, and make that information available to researchers. Further information on managing archival records is provided in the State Archives' Publication No. 40, *Fundamentals of Managing Local Government Archival Records.*

## Appraising Records for Historical or Research Significance

A local government record has historical or other research importance if it provides significant evidence of how the government functions and/or if it provides significant information about people, places or events that involve the government. Since each community has its own unique history, the importance or value of a record series may vary from local government to local government.

Because local governments are continually involved in the lives of people, their records may contain a tremendous amount of information about the people who live there, the buildings and sites within their borders, and the important time periods or significant events that affected the people of the region. Government records can reveal information about what people owned; about attitudes, values and concerns of the citizens; about how the construction of a new highway led to the end of a neighborhood, or about how a community reacted to a military base closing. The records may contain information about the people, places or events themselves or about the decisions made in relation to them. This information can be very valuable to staff, researchers, and the public, but only if the information itself is significant. The records must contain enough information to adequately document the people, places, or events recorded. The significance of

the records will depend on:

- **When the records were created:** records created during a time of momentous change, which are scarce or which cover a long period of time tend to be more significant.

- **What kind of information the records contain:** records that contain more in-depth information are more likely to have enduring value.

- **Who created the records:** records that reflect an employee's perspective or individual point of view may be more significant.

- **What other records exist:** if the information in the records exists in other records within the local government or elsewhere in the state or country, then the records are less likely to be significant.

- **The unique history of the local government or community:** records created during important time periods or events can provide clues to how the events affected the development of the government and the community it serves.

The historical or other research importance of records will vary from local government to local government and from region to region. The people, places, or events in each community, and the unique circumstances of each government, determine which records are significant. Further information on identifying historically significant records is provided in the State Archives' Publication No. 50, *Appraisal of Local Government Records for Historical Value.* State Archives staff can also advise and assist local officials who are appraising records for potential long-term research value.

## Records Created Before 1910

Disposition of records created before 1910 requires specific written approval from the State Archives, as required by Section 185.6 (c) of *8NYCRR*, the Regulations of the Commissioner of Education. Certain records which would normally be disposable under *Schedule MI-1* may need to be kept if created before 1910. Often these records have continuing historical or research value because:

(1) Other documentation no longer exists. Many earlier records were destroyed through natural disaster or through destruction by public officials prior to the passage of the first state statute in 1911 requiring the consent of the Commissioner of Education to the disposition of local public records;

(2) The volume and type of information contained in records have changed since the beginning of the 20th century. Older records often have more detailed and historically significant information than those produced today;

(3) Early records sometimes have intrinsic value beyond the information they contain.

"Intrinsic value" refers to qualities, such as value for exhibits, association with significant events, and aesthetic value, which records may possess beyond merely the information they contain. Further information on identifying records with intrinsic value is provided in the State Archives' Publication No. 36, *Intrinsic Value of Local Government Archival Records.*

Local officials desiring to dispose of any records created before 1910 should telephone or write the State Archives, to obtain disposition request forms. **This requirement also applies to the disposition of original records predating 1910 which have been microfilmed.** The State Archives will review each request and advise the local government on retention or disposition of the records.

## Coverage

*Schedule MI-1* is intended for use by:

**public benefit corporations** performing regional or local government functions (**except** housing authorities and the Utica Transit Authority)

> **NOTE:** Public benefit corporations that perform statewide functions (such as the Thruway Authority and Dormitory Authority) do **NOT** use this Schedule. They are instead subject to the provisions of 57.05 of the Arts and Cultural Affairs Law and Part 188 of *8NYCRR*. Contact the State Archives if there is any doubt as to which Law and Regulations apply to your public benefit corporation.

**public school district, joint local government public, city/county public, miscellaneous public and special district public libraries and the Clinton-Essex-Franklin Library System**

**autonomous special or improvement districts** with independently elected governing bodies

**joint local government entities** which function autonomously of the local governments that created them

**regional planning agencies**

**soil and water conservation districts** (**except** in Westchester County)

**consolidated health districts**

**community colleges** (**except** those sponsored by a single county)

**miscellaneous local government entities** created by state or local legislation

**the City University of New York (CUNY)**

**the Fashion Institute of Technology (FIT)**

**county cooperative extension associations**

**local development corporations**

This Schedule covers the vast majority of all records of miscellaneous local governments. For any record not listed, the Records Management Officer, or the custodian of the record, should contact the State Archives to determine if it is indeed covered by this Schedule and if a legal minimum retention period has been established. If not, the State Archives will consult with appropriate state and local officials and users of local government records and advise the local government on the disposition of the records. If the record is not covered by an item on this Schedule, it must be retained until a revised edition of or addendum to *Schedule MI-1* is issued containing an item covering the record in question and providing a minimum legal retention period for it.

Conversely, the State Archives has no legal authority to require local governments to create records where no records exist, even if the records in question are listed on this Schedule. Although there may be laws, regulations or other requirements that certain records must be created, those requirements do not originate from the State Archives. Instead, the purpose of *Schedule MI-1* is to authorize the disposition of records which local governments maintain. The mere fact that a record is identified on this Schedule should not be interpreted as a requirement that the record must be created.

Public benefit corporations or other special purpose units of local government located in New York City may possess records not covered by this Schedule. Pursuant to Section 185.5 (c) of *8NYCRR* these local governments may use their own local records retention and disposition schedules in lieu of *Schedule MI-1*. These local schedules must be approved by the State Archives. For additional information on this subject, contact the State Archives' Government Records Services.

## Records of Local Governments Where Disposition is Governed by Specific Laws

Records of housing authorities are disposable according to Section 59 of the Public Housing Law. Records of the Utica Transit Authority are disposable according to Section 68 of the Transportation Law.

## Canceled Obligations

The disposition of canceled obligations (including bonds and notes) is covered by Section 63.10

of the Local Finance Law and Part 55 of Title 2 of the *Official Compilation of Codes, Rules and Regulations of the State of New York*. A leaflet on this subject is available from the State Archives' Government Records Services. Questions about the destruction procedure should be addressed to the Office of State Comptroller, Division of Legal Services, 110 State Street, Albany, NY 12236; phone, (518) 474-5586.

## Records of Miscellaneous Local Governments Located in New York City

While retention periods for records of New York City offices and boroughs are established by the New York City Department of Records and Information Services (DORIS), remember that all other local governments located in New York City, including counties, school districts and public benefit corporations, use retention schedules issued by the State Archives for records **other than** court records.

## Records of the New York City Board of Elections

A schedule for disposition of records of boards of elections was issued in 1996 by the State Archives and the State Board of Elections. This covers only election records of the New York City Board of Elections; their general administrative records **are** listed on *Schedule MI-1*. Copies are available from the State Archives' Government Records Services or from the State Board of Elections.

# HOW TO USE *SCHEDULE MI-1*

## Adoption of *Schedule MI-1* and Request for Additional Copies

Before any records listed on *Schedule MI-1* may be disposed of, the governing body must formally adopt the Schedule by passing a resolution. A model resolution is included at the end of the Introduction to this Schedule. It is not necessary to send a copy of the passed resolution to the State Archives.

This Schedule may be used by the local government until the governing body rescinds its authorizing resolution, or the Schedule is superseded or replaced by the State Archives.

Additional copies of *Schedule MI-1* can be obtained by calling the State Archives at (518) 474-6926 or faxing the State Archives at (518) 486-4923. *Schedule MI-1* can also be obtained in electronic format by calling, faxing or writing the State Archives. The State Archives' e-mail address is recmgmt@mail.nysed.gov. *Schedule MI-1* is also available on the Internet at the State Archives' website at http://www.archives.nysed.gov.

## Arrangement of Items on the Schedule

In general, items on *Schedule MI-1* are arranged as they were in the previous edition, with a few significant exceptions. The Budget, Payroll and Purchasing sections are now subsections of the Fiscal section. The Planning and Zoning sections are now subsections of the Building and Property Regulation section. Radiological Health records have been moved from the Environmental Health section to the Public Health section. New sections have been added to cover records of Educational Opportunity Centers and Heritage Areas (Urban Cultural Parks).

## New or Revised Items

Items on this Schedule preceded by a diamond symbol (♦) are either new to this edition, or have been substantively changed from the previous edition. They may have longer or shorter retention periods, additional parts, or additional or revised explanatory notes. Please note these changes carefully on your office schedules and/or inventory or records control forms because only the current items as contained in this edition of *Schedule MI-1* are legally applicable. In particular, the Environmental Health and Public Safety sections have been thoroughly revised, with new subsections and items reorganized.

## Unique Item Numbering System

In addition to consecutive numbering of items within each section/subsection of the Schedule, items are also assigned a unique identifying number. That number, which appears in brackets [ ], does not change as items are revised or relocated in new editions of *Schedule MI-1*. New items in this edition have been assigned new unique identifying numbers regardless of their location in the Schedule.

## Interpreting Schedule Items

Many of the schedule items are broad and describe the purpose or function of records rather than identifying individual documents and forms. Local officials should match the records in their offices with the generalized descriptions on the Schedule to determine appropriate retention periods. Records whose content and function are substantially the same as an item described in the Schedule should be considered to be covered by that item. Local officials should check with the State Archives when they are uncertain regarding coverage of a function. In situations where local officials have combined related types of records, covered by different items in this Schedule, into a single file series, it may be impractical to separately apply the retention periods of the various applicable Schedule items to the individual records in the file. In such situations, officials may find it more convenient to dispose of the entire set of records by using the applicable retention item with the longest retention period.

**Retention periods on this Schedule apply to one "official" copy designated by the local**

**government unless otherwise stated.** No matter what the medium, local officials must ensure that the information will be retained for the specified retention period.

**The retention periods listed on this Schedule pertain to the information contained in records, regardless of physical form or characteristic (paper, microfilm, computer disk or tape, or other medium).** Duplicate copies of records, including copies maintained on different media (paper, electronic, etc.), may be disposed of in accordance with item no. 19 of the General section of this Schedule.

## Legal Actions

Some records may be needed to defend the local government in legal actions. Records that are being used in such actions must be retained for the entire period of the action even if their retention period has passed. **If the retention period has expired by the time the legal action ends, the record must be retained for at least one additional year** to resolve any need for the record in an appeal. If the retention period has **not** expired, the record must be retained for the remainder of the retention period, but not less than one year after the legal action ends. Prior to disposing of records, local officials may wish to consult with their local attorney to verify that no legal actions have been initiated which would require longer retention of the records.

## Additional Retention Requirement in Commissioner's Regulations

The State Education Department's Office of the Professions oversees the professional conduct of licensed health professionals other than physicians, who are under the jurisdiction of the Department of Health. Section 29.2 of *8NYCRR* (Regulations of The Commissioner of Education) contains "General Provisions for the Health Professions." Paragraph 3 of subdivision a of this Section states that "unprofessional conduct" includes "failing to maintain records for each patient which accurately reflects the evaluation and treatment of the patient. Unless otherwise provided by law, all patient records must be retained for at least six years. . . . . records of minor patients must be retained for at least six years, and until one year after the patient reaches the age of 21 years."

A number of health related items on *Schedule MI-1* and other State Archives' schedules contain minimum legal retention periods which permit disposition of records three years after a minor attains age 18. These items are mostly found in the Personnel/Civil Service and Public Health sections. In these instances, certain records pertaining to minors must also be retained for an additional year if those records are subject to the Section 29.2 requirements for health professionals, other than physicians, employed by or associated with local governments. For additional information on this situation, contact the State Archives' Government Records Services.

## Audits

Program and fiscal audits and other needs of state and federal agencies are taken into account when retention periods are established by the State Archives. However, in some instances agencies with audit responsibility and authority may formally request that certain records be kept beyond the retention periods. If such a request is made, these records must be retained beyond the retention periods until the local government receives the audit report or until the need is satisfied.

## Records That Have Been Microfilmed or Electronically Duplicated

The retention and disposition of the originals of records that have been microfilmed or electronically duplicated is governed by Section 57.29 of the Arts and Cultural Affairs Law and the State Archives' procedures. Please contact the State Archives for further information prior to beginning a program of microfilming or any other form of records duplication.

## Electronic Records

While items on *Schedule MI-1* for the most part cover records regardless of the format in which they are maintained, electronic records in some subject areas are treated differently in this edition of the schedule. Some electronic records are listed specifically in the Building and Property Regulation, Environmental Health, Public Health, Public Safety, Taxation and Assessment, and Transportation and Engineering sections. In addition, the Electronic Data Processing section has been greatly expanded to cover a number of series not covered by the previous edition of this Schedule. Study the State Archives' Regulations relating to electronic records (Section 185.8, *8NYCRR*), and contact the State Archives if you have any questions or problems after reviewing these requirements. Contact the State Archives as well if you need additional information on electronic records falling in the subject areas mentioned above.

Generally, records transmitted through e-mail systems have the same retention periods as records in other formats that are related to the same program function or activity. E-mail records should be scheduled for disposition in conjunction with any other records related to the program function. Local governments may delete, purge, or destroy e-mail records provided that the records have been retained for the minimum retention established in this Schedule and are not being used for a legal action or audit. Transitory messages may be destroyed in a timely manner, using item no. 18 in the General section of the Schedule. Further information on e-mail records, suggested filing practices, dealing with duplicate copies, and a sample e-mail policy are found on the State Archives' web site at http://www.archives.nysed.gov. See also the State Archives' Publication No. 62, *Managing E-Mail Effectively*. Contact the State Archives for additional information.

Electronic records created specifically for distribution via the Internet are considered publications, and are covered by item no. 11 in the General section.

## Public Access to Records

This Schedule does not address the issue of public access to records. Access issues are not covered by the Local Government Records Law but are covered by the Freedom of Information Law (Public Officers Law, sections 84 through 90). The State Archives urges local government officials to consult with their own counsels, the Committee on Open Government which administers the Freedom of Information Law (see below), or the state or federal agency having oversight over the records in question.

**The Committee on Open Government** is responsible for administering the Freedom of Information Law, which governs rights of access to government records. (The Committee also administers the Open Meetings Law which concerns the conduct of meetings of public bodies and the right to attend those meetings.) The Committee can provide written or oral advice and mediate in controversies in which rights may be unclear. For more information or advice, please contact:

Executive Director
Committee on Open Government
NYS Department of State
41 State Street
Albany, NY 12231
(518) 474-2518

The Committee has issued a booklet, *Your Right to Know: New York State's Open Government Laws*, which provides guidance on the Freedom of Information Law. As explained in that booklet, the law defines what is meant by a "record" and sets forth provisions regarding access. The booklet states that "all records are accessible, except records that fall within one of nine categories of deniable records." These nine categories (Section 87.2 of the Law) are explained in the booklet. The categories include records which, if disclosed, would result in an unwarranted invasion of personal privacy; records which would, if disclosed, impair present or imminent contract awards or collective bargaining negotiations; certain records prepared for law enforcement purposes; certain types of inter-agency or intra-agency communications; and several other categories. The booklet describes them in detail. As the booklet notes, "the categories of deniable records are generally directed to the effects of disclosure. They are based in great measure upon the notion that disclosure would in some instances `impair,' `cause substantial injury,' `interfere,' `deprive,' `endanger,' etc."

Local officials should note that the Freedom of Information Law does not require that they provide unrestricted public access to birth, death and marriage licenses. Information about providing access to such records can be obtained from the Vital Records Section of the New York State Department of Health.

Governments are required to develop a subject matter list of their records and to designate a records access officer to coordinate their response to public requests for records. The booklet also explains how people can obtain records, the process for denying access, and how that denial

can be appealed. It explains other provisions of the law in detail.

The State Archives strongly urges local officials to read this booklet and contact the Committee on Open Government for any guidance or advice that is needed.

Please note that any record listed in this Schedule for which a Freedom of Information (FOIL) request has been received should not be destroyed until that request has been answered and until any potential appeal is made and resolved, even if the retention period of the record has passed.

Records in this Schedule may or may not be confidential, depending on what information they contain and on the possible effect of disclosure of that information. In approaching issues of confidentiality and access, it may be helpful to consider the following, after reviewing the laws and the *Your Right to Know* booklet referred to above:

- What was the purpose for which the records were created?
- What information do they contain? What subjects are covered?
- How are the records used?
- How do they relate to other records that may have similar information?
- What would be the likely effect of disclosure of the information in the records?

## SUGGESTIONS FOR RECORDS DISPOSITION

Once this Schedule has been formally adopted valueless records may be disposed of continually as they meet their stated minimum retention periods. The advantages of a program for systematic, legal disposal of obsolete records are that it

(1) ensures that records are retained as long as they are actually needed for administrative, fiscal, legal, or research purposes;

(2) ensures that records are promptly disposed of after they are no longer needed;

(3) frees storage space and equipment for important records and for new records as they are created;

(4) eliminates time and effort required to service and sort through superfluous records to find needed information;

(5) eliminates the potential fire hazard from storage of large quantities of valueless records; and

(6) facilitates the identification and preservation of archival records.

Suggestions for systematically approaching the disposition process include the following:

(A) Section 57.19 of the Arts and Cultural Affairs Law requires each local government to designate a Records Management Officer to coordinate or directly carry out disposition. The duties of a Records Management Officer are found in Section 182.5 of *8NYCRR*. Contact the State Archives for additional information.

(B) Disposition should be carried out regularly, at least once a year. It should not be deferred until records become a pressing storage problem. Duplicate copies of records, including copies maintained on different media (paper, electronic, etc.), may be disposed of in accordance with item no. 19 of the General section of this Schedule.

(C) State law does not prescribe the physical means of destruction of most records. Records may be destroyed in any way the Records Management Officer or other local official chooses. Disposition through consignment to a paper recycling plant is often the best choice as it helps conserve natural resources and may also yield revenue for the local government. For records containing confidential information, disposition should be carried out in a way that ensures that the confidentiality of individuals named in the records is protected.

(D) A record should be kept of the identity, inclusive dates, and approximate quantity of records that are disposed. Sample disposition forms are available from the State Archives.

(E) The Records Management Officer, or other official who carries out disposition, should describe what has been done to dispose of records during the year in an annual report to the governing body.

# REMINDERS

1. Records created before 1910 (even those which have been microfilmed) are not eligible for disposition without written permission from the State Archives.

2. No records may be disposed of unless they are listed on this Schedule, or their disposition is covered by other state laws.

3. Records common to most offices are listed under the General section of the Schedule. You should first attempt to locate a specific item under a functional heading. If the record you are locating cannot be found under a functional heading, then proceed to this General section to search for a less specific item covering the record.

4. Records being used in legal actions must be retained for one year after the legal action ends,

or until their scheduled retention period has passed, whichever is longer.

5. Any record listed in this Schedule for which a Freedom of Information (FOIL) request has been received should not be destroyed until that request has been answered and until any potential appeal is made and resolved, even if the retention period of the record has passed.

6. Records being kept beyond the established retention periods for audit and other purposes at the request of state or federal agencies must be retained until the local government receives the audit report, or the need is satisfied.

7. Retention periods on this Schedule apply to one "official" copy designated by the local government, unless otherwise stated.

8. The retention periods listed on this Schedule pertain to the information contained in records, regardless of physical form or characteristic (paper, microfilm, computer disk or tape, or other medium).

9. The State Archives has no legal authority to require local governments to create records where no records exist, even if the records in question are listed on this Schedule.

10. The Budget, Payroll and Purchasing sections are now subsections of the Fiscal section. The Planning and Zoning sections are now subsections of the Building and Property Regulation section. Radiological Health records have been moved from the Environmental Health section to the Public Health section. New sections have been added to cover records of Educational Opportunity Centers and Heritage Areas (Urban Cultural Parks).

11. The State Archives cannot identify all record series with historical significance for individual local governments. Local officials will need to appraise records with nonpermanent retention periods for potential research or historical value before destroying them.

12. Certain records may need to be retained for one year longer than *Schedule MI-1* dictates if those records are subject to the requirements stated in Section 29.2 of *8NYCRR* for health professionals, other than physicians, employed by or associated with local governments.

13. The Local Government Records Law and *Schedule MI-1* do not address confidentiality of records. Confidentiality of records is often dependent upon what information they contain. Local officials should address such questions to the Committee on Open Government, their own counsels, or other state or federal agency having oversight of the records in question.

## *MODEL RESOLUTION*

**RESOLVED,** By the _____ [title of governing body] of _____ [local government name] that *Records Retention and Disposition Schedule MI-1*, issued pursuant to Article 57-A of the Arts and Cultural Affairs Law, and containing legal minimum retention periods for local government records, is hereby adopted for use by all officers in legally disposing of valueless records listed therein.

**FURTHER RESOLVED,** that in accordance with Article 57-A:

(a) only those records will be disposed of that are described in *Records Retention and Disposition Schedule MI-1* after they have met the minimum retention periods described therein;

(b) only those records will be disposed of that do not have sufficient administrative, fiscal, legal, or historical value to merit retention beyond established legal minimum periods.

## MORE INFORMATION

The State Archives will help local governments interpret and use this Schedule. The State Archives hopes to refine, update, and reissue this Schedule periodically, and welcomes suggestions for improvements in content and format. The State Archives also issues publications on local government records administration and provides advice and assistance to local governments on records management and archival administration problems. For more information contact:

Government Records Services, State Archives
9A47 Cultural Education Center
Albany, NY 12230
tel: (518) 474-6926 fax: (518) 486-4923
e-mail: recmgmt@mail.nysed.gov
web site: http://www.archives.nysed.gov

# GENERAL

**NOTE:** Records common to most offices are listed under this section of the Schedule. In using the Schedule, one should first attempt to locate a specific item under a functional heading. If the record you are locating cannot be found under a functional heading, then proceed to this General section to search for a less specific item covering the record.

♦1.[1] **Official minutes and hearing proceedings** of governing body or board, commission or committee thereof including all records accepted as part of minutes:
**RETENTION:** **PERMANENT**

♦♦2.[2] **Recording of voice conversations**, including audio tape, videotape, stenotype or stenographer's notebook and also including verbatim minutes used to produce official minutes and hearing proceedings, report, or other record

a. Recording of public or other meeting of governing body or board, committee or commission thereof:
**RETENTION:** 4 months after transcription and/or approval of minutes or proceedings

**NOTE:** Videotapes of public hearings and meetings which have been broadcast on local government public access television are covered by item no. 581, below.

**NOTE:** Appraise these records for historical significance prior to disposition. Audio and videotapes of public hearings and meetings at which significant matters are discussed may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice on the long-term maintenance of these records.

b. Other recordings:
**RETENTION:** 0 after no longer needed

♦3.[3] **Meeting files** for meeting of governing body or board or agency, commission or committee thereof, including agendas, background materials and other records used at meetings:
**RETENTION:** 1 year

**NOTE:** Appraise these records for continuing administrative or historical value

prior to disposition. Agendas may have continuing administrative value and may be useful for accessing information in unindexed minutes and for indexing those minutes. Other records prepared for or used at meetings may have administrative or historical value for documenting issues discussed at the meetings and referenced in the minutes. See item no. 1, above, for records which are accepted as part of the minutes.

♦4.[4] **Legal opinion** or legal directive rendered by government agency:
**RETENTION:** **PERMANENT**

5.[5] **Local law (including certification that law was properly enacted), rule, regulation, ordinance, resolution, proclamation or court order:**
**RETENTION:** **PERMANENT**

♦6.[6] **Legal agreement**, including contract, lease, and release involving local government:
**RETENTION:** 6 years after expiration or termination or 6 years after final payment under contract, whichever is later

**NOTE:** This item does not apply to contracts (collective bargaining agreements) between a local government and a public employee labor organization. These contracts are covered by item no. 321 in the Personnel/Civil Service section, and must be retained permanently.

7.[7] **Signature card**, or equivalent record, showing signature of individual legally authorized to sign specific transaction:
**RETENTION:** 6 years after authorization expires or is withdrawn

♦8.[8] **Proof of publication or posting**, legal notices, or certification thereof

**NOTE:** This item does **not** apply to notice of forthcoming election (see item no. 143 in the Election section).

a. Relating to bond or note issue or tax limit increase:
**RETENTION:** 6 years after issue or increase disapproved or retired

b. **Not** relating to bond or note issue or tax limit increase:
**RETENTION:** 6 years

♦9.[9] **Manual of procedures**, or policies and standards

a. Involving major procedures, policies and standards affecting local

government operations, critical functions or issues of public visibility or concern:
**RETENTION:** **PERMANENT**

b. Involving routine day-to-day procedures, policies and standards pertaining to internal administration of a local government:
**RETENTION:** 6 years after superseded

♦10.[10] **Correspondence**, and supporting documentation maintained in a subject file (generated or received by a local government), **except** correspondence that is part of a case file or other record series listed elsewhere on this Schedule

a. Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:
**RETENTION:** **PERMANENT**

**NOTE:** Significant correspondence is often maintained by the chief executive or administrative officer, and sometimes in subject file format. See item no. 198 in the Executive, Manager, and/or Administrator section.

b. Containing routine legal, fiscal or administrative information:
**RETENTION:** 6 years

c. Of **no** fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters):
**RETENTION:** 0 after no longer needed

♦11.[11] **Official copy of publication**, including newsletter, press release, published report, bulletin, homepage or other website file, educational or informational program material prepared by or for local government

**NOTE:** Specific publications are listed in other places in this Schedule. Before using this item to determine the minimum legal retention for a publication, determine if that publication is covered by a more specific item.

a. Publications which contain significant information or substantial evidence of plans and directions for government activities, **or** publications where critical information is **not** contained in other publications:
**RETENTION:** **PERMANENT**

b. Publications where critical information is **also** contained in other publications or reports, publications which document routine activities,

publications which contain **only routine** information, or publications (such as webpages) that facilitate access to government information on the Internet:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of samples of publications covered by part "b" of the above item. Contact the State Archives for additional advice in this area.

♦12.[12] **Special project or program files,** including official copy of publications, videotapes, or informational literature prepared for public distribution, background materials and supporting documentation:
**RETENTION:** 6 years after project or program ends

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. If special projects or programs deal with significant subjects, then certain documentation from these files, such as summary reports and resulting publications, should be retained permanently.

♦13.[13] **Grant program file**

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

a. Application, proposal, narrative, evaluation, and annual report for grants that have been awarded:
**RETENTION:** 6 years after renewal or close of grant

**NOTE:** Local governments may find that some of the records covered by part "a" have ongoing administrative value. These records may be useful beyond the minimum retention period for preparing future grant applications.

b. Background material, fiscal records, and supporting documentation for grants that have been awarded and all records relating to grant applications that have been rejected:
**RETENTION:** 6 years after renewal or close of grant or denial of application

♦14.[33] **Complaint, petition or request for service** received by local government

**NOTE:** Appraise these records for historical significance prior to disposition. Petitions by citizens involving very significant issues should be retained permanently.

**NOTE:** For additional fiscal items, see Fiscal section of this Schedule.

a. Summary record (such as log or register) of complaints, petitions or requests:
**RETENTION:** 6 years after disposition of all complaints, petitions or requests listed

b. Complaints, petitions or requests relating to other than routine services or activities:
**RETENTION:** 6 years after final disposition of complaint, petition or request

c. Complaints, petitions or requests relating to routine government services or activities:
**RETENTION:** 1 year after final disposition of complaint, petition or request

♦15.[15] **Opinion survey records**

a. Survey results, including official copy of survey form:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Survey results and sample forms involving very significant issues should be retained permanently.

b. Completed survey forms:
**RETENTION:** 0 after survey results prepared

♦16.[16] **Repair, installation, maintenance or similar record**, including but not limited to request for service, work order, record of work done, and summary or log of service performed:
**RETENTION:** 6 years

**NOTE:** For maintenance, testing, service, operational and repair records for public equipment or vehicle, see item no. 424 in the Public Property and

Equipment section.

♦17.[17] **Internal investigation or non-fiscal audit records**

**NOTE:** Fiscal audit records are covered by item no. 214 in the Fiscal section, Audit subsection. Investigations of personnel are covered by item no. 311 in the Personnel/Civil Service section, Personnel subsection.

a. Report and recommendation resulting from investigation:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation:
**RETENTION:** 6 years

♦18.[18] **Internal information record**, including but not limited to calendars of appointments, office and travel schedule, memoranda and routing slips, routine internal reports, reviews and plans, used solely to disseminate information or for similar administrative purposes:
**RETENTION:** 0 after no longer needed

19.[19] **Duplicate copy of record**, created for administrative convenience, **except** where retention is specified elsewhere in this Schedule:
**RETENTION:** 0 after no longer needed

♦20.[20] **Log or schedule** used for internal administrative purposes only:
**RETENTION:** 0 after no longer needed

♦21.[21] **Mailing list** used for billing or other administrative purposes:
**RETENTION:** 0 after superseded or obsolete

♦22.[22] **Daily, weekly, monthly, quarterly or other periodic internal or external report, summary, review, evaluation, log, list, statement or statistics:**
**RETENTION:** 6 years

**NOTE:** For annual, special, or final report, summary, review or evaluation, see item no. 23. For routine internal reports and reviews, see item no. 18.

♦23.[23] **Annual, special or final report, summary, review or evaluation**

**NOTE:** Specific annual reports are listed in many places in this Schedule. Before using this item to determine the minimum legal retention for an annual report, determine that a report is not covered by a more specific item.

a. Reports which contain substantial evidence of government policy, procedures, plans and directions:
**RETENTION:** **PERMANENT**

b. Reports where critical information is contained in other reports, reports which document internal management and housekeeping activities, or reports which contain **only routine** legal, fiscal and administrative information:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

♦24.[24] **Program plan (annual, special or long-range):**
**RETENTION:** **PERMANENT**

**NOTE:** Program plans of a routine nature covering internal activities are covered by item no. 18. Program plans where significant information is duplicated in other records (which are retained permanently) are covered by item no. 19.

25.[25] **List, index or summary** used for internal administrative convenience or for informational purposes:
**RETENTION:** 0 after obsolete

26.[26] **Working document**, such as draft, worksheet or posting record **except** worksheets containing fiscal information:
**RETENTION:** 0 after no longer needed

♦27.[27] **Communication log** recording each communication between caller and receiving unit:
**RETENTION:** 1 year

**NOTE:** Item nos. 27 & 28 do **not** apply to records found in the public safety area. See the Public Safety section of this Schedule.

28.[28] **Telephone call log, statement or equivalent record**:
**RETENTION:** 1 year

♦29.[29] **Identification card** (duplicate copy or record of issuance) issued to client, patron or resident:
**RETENTION:** 0 after invalid

**NOTE:** This does **not** apply to identification cards issued by a law-enforcement agency as proof of age or residency **or** identification cards issued by local government to its employees. For these, see item no. 465 in the Public Safety section and item no. 316 in the Personnel/Civil Service section.

30.[30] **Postal records**, including returned registered or certified mail card or receipt and insurance receipt:
**RETENTION:** 1 year

♦31.[31] **Accident report** and related records:
**RETENTION:** 3 years, or 0 after individual attains age 21, whichever is later

♦32.[32] **Report of incident of theft, arson, vandalism, property damage or similar occurrence**:
**RETENTION:** 6 years

**NOTE:** This item does **not** apply to records found in the public safety area. See the Public Safety section of this Schedule.

♦33.[581] **Local government public access television records**

a. Videotape (or other information storage device) recording local government public access television program, where program is produced by a local government

Where program constitutes an important public meeting, significant event, important subject or documents local government policy making:
**RETENTION:** **PERMANENT**

**NOTE:** In order to ensure the continued preservation and availability of videotapes, local governments should consider using broadcast-quality tapes where possible. Those tapes should be periodically inspected and copied to newer tapes and formats. Consult the State Archives for additional advice.

Where program constitutes a routine meeting, event or subject:
**RETENTION:** 1 year

Where program is aired but **not** produced by a local government:
**RETENTION:** 0 after no longer needed

b. Viewer guide or other periodic listing of programs:
**RETENTION:** 1 year

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. The State Archives recommends that local governments retain a sampling of these records on a monthly, seasonal or other periodic basis.

c. Program files on local government cable television programs:
**RETENTION:** 6 years

♦34.[582] **Records covering photocopying and other reproduction** of records, books, or other materials, including usage logs and individual copying requests

a. For materials subject to U.S. Copyright Law:
**RETENTION:** 3 years

b. For materials **not** subject to U.S. Copyright Law:
**RETENTION:** 0 after no longer needed

♦35.[583] **Copyright records**, for materials copyrighted by local government, including but not limited to copy of application, notice of copyright and correspondence:
**RETENTION:** 6 years after copyright expires or application denied

♦36.[584] **Training course information records**, including but not limited to memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of agency registrants:
**RETENTION:** 0 after superseded or obsolete

**NOTE:** This item does not cover training in the Public Safety area; see item nos. 435 and 441 in the Public Safety section. This item does not cover training in dealing with toxic substances; see item no. 325 in the Personnel/Civil Service section.

♦37.[585] **Training course registration processing records**, including but not limited to employees' application and enrollment records for courses including employee data forms, course applications, and supervisors' and training officers' authorizations or denials:
**RETENTION:** 3 years after date of application to take course

# ARCHIVES/RECORDS MANAGEMENT

♦1.[34] **Records disposition documentation**

a. Consent of the Commissioner of Education to the use of records retention and disposition schedules and the legal disposition of records:
**RETENTION:** 0 after superseded

b. Documentation of final disposition of records, describing records disposed of and manner and date of disposition:
**RETENTION:** 6 years after final disposition of records

**NOTE:** Local governments may wish to retain records covered by part "b" longer than the minimum retention period, to provide evidence that records have been legally disposed of, in response to requests for public access to records. In addition, documentation of the final disposition of archival records is covered by item no. 36, below.

♦2.[35] **Inventory of records:**
**RETENTION:** 0 after superseded

3.[36] **Records transfer list**

a. For archival records:
**RETENTION:** **PERMANENT**

b. For inactive records:
**RETENTION:** 0 after disposition of records on list

♦4.[37] **Retrieval request** for records in storage:
**RETENTION:** 0 after return of records, or 3 years after retrieval when records **not** returned

5.[38] **Archival administration records**

a. Appraisal and accessioning documentation, including assessment of conservation needs:
**RETENTION:** **PERMANENT**

b. Processing and management working papers, drafts, notes, and related

records:
**RETENTION:** 0 after no longer needed

♦6.[39] **Guide, listing, index, or other finding aid** to archival records:
**RETENTION:** 0 after superseded

**NOTE:** Local governments should retain any superseded guides, lists, indices or other finding aids containing record numbering and identification information, or any other significant information not carried forward to newer versions.

♦7.[40] **Records on use of archival materials**

a. Log or register of researchers, and patron's registration for use of archival records:
**RETENTION:** 6 years

b. Researcher interviews, reference statistics, requests for records, or similar reference service records:
**RETENTION:** 0 after no longer needed

# ATTORNEY OR COUNSEL

◆1.[41] **Legal case file**, including but not limited to notice of claim, attorney and investigator activity logs, complaints, court order, motions, notes, briefs, releases and closing sheet:
**RETENTION:** 6 years after case closed, or 0 after any minor involved attains age 21, whichever is later

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of significant cases which have importance or which set major legal precedents. For instance, local governments may wish to permanently retain files for cases concerning major local controversies, issues, individuals and organizations which are likely to be the subject of ongoing research or which result in decisions or rulings of major significance to the local government or community or to the entire state. Contact the State Archives for advice in this area. In addition, local governments may wish to retain the complaint and release for routine cases longer for convenience of reference.

2.[42] **Legal brief file** ("brief bank") containing duplicate copies of legal briefs from case files, retained separately for future reference:
**RETENTION:** 0 after no longer needed

◆3.[43] **Legal case log** giving chronological listing of cases:
**RETENTION:** 0 after no longer needed

4.[44] **Legal case index**, including notations on activities related to case:
**RETENTION:** **PERMANENT**

5.[45] **Subject file** assembled and kept for reference purposes:
**RETENTION:** 0 after no longer needed

◆◆6.[880] **Subpoena**, along with documentation of response, issued to local government agency or officer, when not part of legal case file or any other series of records listed on this Schedule:
**RETENTION:** 6 months after date of response

**NOTE:** Subpoenas relating to legal case files or other series of records listed on this Schedule should be retained as part of or as long as that respective series.

# BUILDING AND PROPERTY REGULATION

## BUILDING/PROPERTY HISTORY SYSTEMS

**NOTE:** Some local governments in the state use automated systems to keep track of various functions of their offices regarding building and property regulation. These systems, which we are referring to generically as "Building/Property History Systems," contain information in such areas as planning, zoning, building permits and inspections, fire safety, code enforcement, violations and complaints. In general, these systems do not replace existing hard copy-based systems, but do create some of the forms and other paper records in these files. In addition, these systems contain data files and other electronic records not found in manual systems. The items below are meant to cover not only electronic records contained in these automated systems, but also maps, reports and other system output maintained in both traditional hard copy and electronic format as well.

More importantly, these systems often contain summary information on various local government activity regarding a specific building and/or parcel of real property. The building/property history data file, listed below, may contain retrospective information on building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections for a single parcel of property over a period of time.

♦1.[586] **Building/property history data file contained in building/property history system,** and related records, created for informational and reference purposes, containing information on such areas as building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments should **consider** permanent retention of the basic data elements of these building/property history systems for all parcels of property in the local government. This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed records maintained in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

♦2.[587] **Street address/parcel number authority data file,** used to supply

building/property history system with accurate, up-to-date information on real property tax parcel numbers, property owners' names and addresses, parcel sizes, E-911 or other street addresses, and other essential data necessary for system to operate:
**RETENTION:** Retain until superseding or updated file received.

**NOTE:** This data is often received from an assessor's or tax office. See items covering real property data systems in the Taxation and Assessment section.

♦3.[588] **Lists, reports, studies, queries, searches for information, special project records and analyses** created from data contained in one or more data files in building/property history system

a. Final reports and studies resulting from analysis of system data, including background materials and supporting documentation containing significant information on real property and structures located thereon, used for such purposes as long-range planning, change of zoning boundaries and regulations, or planning infrastructure improvements or new facility construction:
**RETENTION:** 6 years after project completed, or after date of final entry in record

**NOTE:** Appraise these records for historical significance prior to disposition. Records for important projects have historical value and should be retained permanently. Contact the State Archives for additional advice.

b. Reports and studies resulting from analysis of system data, including background materials and supporting documentation, queries, searches for information, lists, logs or other internal information records, containing routine information on real property and structures located thereon, or used to produce final reports and studies:
**RETENTION:** 0 after no longer needed

**NOTE:** Queries conducted in automated systems are not considered "records" unless the query and/or its results are saved in electronic or manual format. See also related items in the Electronic Data Processing section.

# BUILDING AND CONSTRUCTION (REGULATION AND INSPECTION)

**NOTE:** Applications for permits necessary for connection to public water supply system or municipal sewer, for individual water supply or sewage disposal system, for groundwater drainage, and for soil or stream disturbance or realty subdivision construction, are found in the Environmental Health section of this Schedule.

♦1.[589] **Master summary record**, including index, log or journal, covering building code complaints, inspections, investigations, and violations:
**RETENTION: PERMANENT**

♦2.[590] **Housing maintenance or building inspection records**, including but not limited to complaints, inspection reports, notice of violation, cumulative building inspection record, appeal or review and final disposition of case

a. For school, public building, multifamily dwelling, commercial or industrial structure, or hazardous structure:
**RETENTION:** 6 years after building no longer exists, but not less than 21 years

b. For single family home:
**RETENTION:** 6 years after last entry in record

**NOTE:** Building inspection records relating to building permit issuance are covered by item no. 593, below.

♦3.[591] **Fire safety inspection records**

a. Master summary record of inspections performed:
**RETENTION: PERMANENT**

b. Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:
**RETENTION:** 21 years

**NOTE:** If fire safety inspection records are combined or interfiled with building inspection records, use item no. 590a, immediately above.

c. Report on inspection of single family dwelling and notice of violation:
**RETENTION:** 6 years

♦4.[592] **Building inspection data file** contained in building/property history system, and related records, created for informational and reference purposes, containing information on building inspections **not** related to building permit issuance, certificate of occupancy issuance, fire inspections, and other relevant detailed information:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments should **consider** permanent retention of the basic data elements of this building inspection data for all parcels of property in the local government, **unless** that data is preserved by the building/property history system overall summary data file (see item no. 586, above.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

♦5.[593] **Building permit and certificate of occupancy issuance records**

**NOTE:** Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.

a. Master summary record of applications for building, plumbing, electrical, demolition or related permits, or for certificates of occupancy granted:
**RETENTION:** **PERMANENT**

b. Log or other chronological list recording permits or certificates of occupancy issued:
**RETENTION:** 1 year after last entry in record, or 1 year after posting

c. Building, plumbing, electrical, demolition or related permit file, including application and supporting materials; plans, maps and drawings; specifications; inspection reports; copies of all required permits and approvals; affidavit of compliance or completion of work; records of appeal when permit is denied; certificate of occupancy and correspondence

When permit is granted:
**RETENTION:** 6 years after building no longer exists

When permit is denied:
**RETENTION:** 6 years after final decision

When application is discontinued, has lapsed or is incomplete:
**RETENTION:** 90 days after date of most recent entry in record

For **non-structural modifications** to shopping mall, office complex or similar structure (modifications **not** involving changes to fire suppression or alarm systems), when permit is granted:
**RETENTION:** 10 years

**NOTE:** Certain records covered by this item may be included under item no. 594, below, such as in instances where they are maintained in electronic format and not created as hard-copy output and included in the building permit file. In these cases, the electronic records covered by item no. 594 must be retained as long as specified by this item.

d. Certificate of occupancy and application when not related to building permit application:
**RETENTION:** 6 years after building no longer exists

e. Detailed construction specifications submitted as part of building permit application:
**RETENTION:** 6 years after denial of permit or completion of work

♦6.[594] **Building permit issuance data file** contained in building/property history system, and related records, created for informational and reference purposes, containing information on applications for and issuance of building permits, including related inspections, certificate of occupancy issuance, and other relevant detailed information:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments should **consider** permanent retention of the basic data elements of this building permit issuance data for all parcels of property in the local government, **unless** that data is preserved by the master summary record (see item no. 586, above.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on

them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice in this area.

♦7.[595] **Building condemnation and demolition files**, including application, copy of permit, correspondence, and notice of condemnation:
**RETENTION: PERMANENT**

♦8.[596] **Contractors' liability insurance records**

a. Certificate of insurance or copy of insurance policy:
**RETENTION:** 6 years after denial or expiration of relevant permit

b. Master summary record of contractors doing business in municipality and their insurance coverage:
**RETENTION:** 1 year after superseded or obsolete

♦9.[597] **Building complaints/violations records,** including data file contained in building/property history system, and related records, containing information on complaint tracking and violation processing, and other relevant information:
**RETENTION:** 6 years

**NOTE:** For citizen complaints and requests for services, not covered by items in this section, see item no. 33 in the General section. For sanitary code violations, see item no. 173 in the Environmental Health section.

**NOTE:** Local governments should **consider** longer retention of the basic data elements of this complaints/violations data for all parcels of property in the local government, **unless** that data is preserved by the building/property history system overall summary data file (see item no. 586, above.) This information may be useful for long-range planning purposes in conjunction with building permit issuance and building inspection data. Contact the State Archives for additional advice.

# PLANNING

1.[340] **Comprehensive plan development file**, including but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plan:
**RETENTION: PERMANENT**

♦2.[598] **Planning action data file** contained in building/property history system, and related records, created for informational and reference purposes, containing information on mandatory or discretionary planning review, planning projects, and other relevant detailed information:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments should **consider** permanent retention of the basic data elements of this planning action data for all parcels of property in the local government, **unless** that data is preserved by the building/property history system overall summary data file (see item no. 586, above.) This information may be useful for long-range planning purposes, and for community and land use history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

3.[341] **Planning project or program file** for project or program developed by or for planning agency

a. Final report and essential supporting information used to develop report, including but not limited to maps, plans, technical memoranda and environmental impact studies:
**RETENTION:** **PERMANENT**

b. Background material, including but not limited to notes, memos, worksheets and correspondence:
**RETENTION:** 6 years

4.[342] **Master summary record** (log or register) maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken:
**RETENTION:** **PERMANENT**

5.[343] **Geographic reference file** maintained by planning agency for internal reference purposes, usually arranged by name of government agency or other service organization:
**RETENTION:** 0 after obsolete

♦6.[344] **Mandatory planning review case file** for required review of site plan, zoning

variance, special permit, change of zoning, subdivision creation or enlargement, local government planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination

a. Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is approved or denied (**except** records covered by part "d"):
**RETENTION:** **PERMANENT**

b. Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is withdrawn or abandoned (**except** records covered by part "d"):
**RETENTION:** 10 years after last entry

c. Any other mandatory review:
**RETENTION:** 6 years after last entry

d. Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:
**RETENTION:** 6 years after last entry

e. Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:
**RETENTION:** 1 year after last entry

**NOTE:** "Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites.

7.[345] **Discretionary planning review case file**, including review of planning review cases, federal or other aid projects, review of mining permit application, environmental impact or similar studies, or other reviews, including but not limited to application, correspondence, copies of local planning or zoning records, maps, plans, sketches, and other supporting materials

a. When review is carried out, and comments are forwarded by planning agency:
**RETENTION:** 3 years after last entry

b. When **no** comments are forwarded by planning agency:

**RETENTION:** 1 year after receipt of request to review

# ZONING

♦1.[599] **Master summary record** (log or register) maintained by zoning agency to record receipt of zoning variance and special use permit applications, change of zoning applications for individual parcels, and other zoning activity, and to record subsequent action taken:
**RETENTION: PERMANENT**

2.[576] **Zoning maps**, and all updates:
**RETENTION: PERMANENT**

♦3.[600] **Zoning action data file** contained in building/property history system, and related records, created for informational and reference purposes, containing information on zoning variances, special use permits, and other relevant detailed information:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments should **consider** permanent retention of the basic data elements of this zoning action data for all parcels of property in the local government, **unless** that data is preserved by the building/property history system overall summary data file (see item no. 586, above.) This information may be useful for long-range planning purposes, and for community and land use history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

♦4.[577] **Change of zoning records**, including application, petition, protest, hearing minutes, preliminary and final reports and correspondence, relating to changes proposed in zoning boundaries or regulations:
**RETENTION: PERMANENT**

**NOTE:** Change of zoning records relating to changes in zoning classification for individual parcels of property, not affecting other parcels or larger areas, are covered by item no. 578, below, as if these were zoning variance applications.

♦5.[578] **Zoning variance or special permit file**, including application and supporting materials, hearing results, decision and appeal records

a. For commercial, industrial, historic structure or multi-unit residential variance or permit (**except** records covered by part "c"):
**RETENTION:** **PERMANENT**

b. For single-unit residential variance or permit:
**RETENTION:** 25 years after date of last entry

**NOTE:** Certain single-unit residential variance and permit files may be significant because they set legal precedents and should be retained permanently. Those involving the definition of what constitutes a "family" may be particularly important.

c. Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:
**RETENTION:** 6 years after last entry

d. Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:
**RETENTION:** 1 year after last entry

6.[579] **Notification of proposed zoning change**, received from adjacent town:
**RETENTION:** 1 year

7.[580] **Zoning ordinance violation records**, not related to zoning variance or special permit application

a. For alleged but unfounded violation:
**RETENTION:** 1 year

b. Violation files:
**RETENTION:** 6 years after date of last entry in record

c. Master summary record of violations:
**RETENTION:** **PERMANENT**

# COMMUNITY COLLEGE

♦♦**NOTE:** The Admissions subsection has been eliminated and the single item previously found there is now in the Student Records subsection, formerly known as the Registration subsection. The Affirmative Action subsection has been eliminated; items previously found there are now covered by items in the Personnel/Civil Service and Human Rights/Economic Opportunity sections. The Health Services subsection has been eliminated; items previously found there are now covered by items in the Public Health section.

Community colleges should also consult other sections of this Schedule, especially the General, Electronic Data Processing, Fiscal, Library/Library System, Public Property and Equipment, Public Safety, and Recreation sections, for records that are held by all types of local governments.

Records of special programs not covered by specific items on this Schedule are covered by item no. 12 in the General section. These include such programs as orientation of students and staff; speakers' bureaus and other community services; veterans, servicemembers, and ROTC programs; and incubator programs, small business development services, and technical assistance/training to business and industry.

## ACADEMIC AFFAIRS

♦♦1.[53] **Accreditation records** for institutional or program accreditation by the Middle States Association of Colleges and Secondary Schools, the National League for Nursing and other organizations responsible for accrediting institutions of higher learning, including but not limited to institutional self-study documents, reports and determinations resulting from onsite visits for evaluation, and the college's response to deficiencies noted

a. Significant correspondence, reports, questionnaires, self-study records and reports, guides and related documents transmitted between the community college and accrediting bodies:
**RETENTION:** **PERMANENT**

b. Routine correspondence and transmittal records, drafts of guides and reports, and fiscal records:
**RETENTION:** 6 years after accreditation approved or denied

♦♦2.[54] **Curriculum development records,** covering internal development and approval for credit, non-credit, and continuing education programs and courses

a. Curriculum and related records describing course of instruction and course content, including transfer status information and course history records:
**RETENTION:** 7 years

**NOTE:** Records prepared as part of curriculum planning may have long-term

value meriting continued preservation. Community college officials should evaluate these records for continued, or permanent, preservation. Contact the State Archives for additional advice

b. Approved internal application for curriculum:
**RETENTION:** 7 years

c. Denied internal application for curriculum:
**RETENTION:** 1 year

d. Curriculum planning records:
**RETENTION:** 0 after no longer needed

**NOTE:** Reports and studies prepared as part of curriculum planning may have long-term value meriting continued preservation. Community college officials should evaluate these records for continued, or permanent, preservation. Contact the State Archives for additional advice.

♦♦3.[55] **Academic program proposals**, including proposals for registration of new programs and requests for approval of changes in existing program title, HEGIS (Higher Education General Information Survey) content, credit hours, curricular content, format, and/or resource commitment

a. For successful registration of program:
**RETENTION:** **PERMANENT**

b. For failed proposal:
**RETENTION:** 0 after no longer needed

4.[56] **Curriculum/program registration records** including approvals from the State University of New York and registration letters from the State Education Department:
**RETENTION:** **PERMANENT**

♦♦5.[59] **Course information records**

a. Official copy of any literature or other material made available to the public, including college catalogs and student handbooks:
**RETENTION:** **PERMANENT**

b. Detailed course descriptive information, including background materials and supporting documentation:
**RETENTION:** 7 years after course or program discontinued

c. Routine internal information records relating to courses, including but not limited to draft descriptions and tentative course schedules:

**RETENTION:** 1 year

♦♦6.[881] **Faculty and faculty-student research records**, maintained separate from faculty personnel records and student individual academic records

a. Published books, papers, journal articles, and other materials made available to the public:
**RETENTION:** **PERMANENT**

b. Other records, including but not limited to records summarizing and publicizing research, and research files which are not the personal property of the researchers:
**RETENTION:** 1 year after research concluded or otherwise terminated

**NOTE:** Depending on the nature of the research, some of these files may be valuable for other researchers as well as in documenting research sponsored by and conducted at the college, and should be appraised for potential permanent retention. Appraisals of research files should involve consultation with both members of the faculty and acknowledged professionals in the respective field.

# ALUMNI

♦♦1.[65] **Alumni contact records** including but not limited to name, address, occupation, degree attained, marital status, and summary records of financial contributions of alumni:
**RETENTION:** 0 after superseded or obsolete

♦♦2.[882] **Alumni directory** or other master summary record of alumni and all other degree recipients, such as published alumni catalog, providing names of alumni, years of graduation, and other information such as degrees granted and place of residence:
**RETENTION:** **PERMANENT**

# ATHLETICS

1.[66] **Player recruitment/scouting file** concerning recruitment of student athletes for college sports programs, including but not limited to scouting reports, lists of prospects, recruitment proposals, and correspondence

a. For student athletes entering college:
**RETENTION:** 3 years after graduation or date of last attendance

b. For student athletes who do not enter college:
**RETENTION:** 0 after no longer needed

2.[67] **Athletic scholarship file** including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, and correspondence:
**RETENTION:** 6 years

♦♦3.[70] **Athletic program records**

a. Lists of athletes or participants, records of intercollegiate competitions and intramural athletics, and other records **except** scouting and training videotapes and other records:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs, and videotapes of and programs for intercollegiate competitions may have historical value in documenting intercollegiate student athletics. Records with historical value should be retained permanently.

**NOTE:** Health-related records are found in the Public Health section of this Schedule. Athletic training records are covered by item no. 885, below.

b. Videotapes, reports and other records used for scouting and training purposes:
**RETENTION:** 0 after no longer needed

♦♦4.[883] **Records of gender equity in athletics,** including audit and self-evaluation records for male and female athletes and related records, including any records created pursuant to Title IX of the Education Amendments of 1972, codified in Sections 1681-1688 of *20USC*, and Section 106.41 of *34CFR*:
**RETENTION:** 6 years

**NOTE:** For related reports and records on athletic program activities, see item no. 889 in the Miscellaneous subsection of this section.

♦♦5.[884] **Substance or alcohol abuse testing records** for individual athlete, not included in student health services case record

a. Positive test results and related records:
**RETENTION:** 6 years after last entry

b. Negative test results:
**RETENTION:** 3 years

♦♦6.[885] **Athletic training records**, including but not limited to records of training provided individual athletes and staff:
**RETENTION:** 6 years after last entry

7.[101] **Athletic health information report** determining student eligibility to participate in campus sports activities:
**RETENTION:** 6 years

# COUNSELING SERVICES

♦♦1.[72] **Student counseling records**, including but not limited to request for assistance relating to emotional, psychological, personal, social, academic, or placement and career planning concerns, and also covering tutoring and mentoring services provided for and received by students:
**RETENTION:** 6 years

2.[73] **Academic termination record** containing information about transfer to another college, reason for termination, or future plans of student:
**RETENTION:** 0 after no longer needed

3.[74] **List of student appointments** including slips, return cards or counseling schedules:
**RETENTION:** 0 after obsolete

4.[75] **Statistical compilation or reports of students served:**
**RETENTION:** 0 after no longer needed

♦♦5.[76] **Catalogs and related public relations information** received from other academic, vocational or educational institutions:
**RETENTION:** 0 after no longer needed

♦♦6.[886] **Career placement records**, including but not limited to records of on-campus visits and interviews, job fairs, employer information sessions, and job searches, but not including individual student counseling records:
**RETENTION:** 0 after no longer needed

# DEVELOPMENT

♦♦1.[78] **Donor (and prospective donor) information records** containing information on individuals, organizations, foundations, or corporations:
**RETENTION:** 0 after no longer needed

**NOTE:** Detailed records of specific gifts to a community college are now covered by item no. 283 in the Miscellaneous section of this Schedule.

# DISABLED STUDENTS

♦♦1.[79] **Student file** including but not limited to information on disability, correspondence with student's sponsoring agency, orders for special equipment, and notes of contacts with counselors:
**RETENTION:** 6 years after graduation or date of last attendance

2.[81] **Staff development materials** relating to instructor orientation to disabled students and general disabilities:
**RETENTION:** 0 after obsolete

# FINANCIAL AID

♦♦1.[84] **Student financial aid records** including but not limited to Free Application for Federal Student Aid (FAFSA) reports, applications for assistance, financial aid disbursement records, copies of income tax forms, financial aid transcripts from other schools, award and declination notices, verifications for non-taxable income and other tax-related records, instructor requests for work-study student, student work-study job descriptions, copies of work-study time records to verify hours with student schedule, and veteran's service information:
**RETENTION:** 6 years

♦♦2.[887] **Financial aid reports** (state, federal, and other) covering multiple students, including but not limited to Tuition Assistance Program (TAP) reports:
**RETENTION:** 6 years

**NOTE:** Appraise these records for continuing administrative or historical value prior to disposition. Records with historical value should be retained permanently. Reports containing information showing trends in student financial aid over time may be valuable for planning and other decision-making as well as research purposes.

# FISCAL

1.[85] **Admissions collection record**, including but not limited to record of receipts and log of operations:
**RETENTION:** 6 years

♦♦2.[86] **Student's individual account records**, covering credit, non-credit, or continuing education courses, housing, food, laboratory and equipment use, and other fees, charges and expenses, and also including tuition waivers:
**RETENTION:** 6 years after last entry

**NOTE:** See item no. 210 in the Fiscal section, General Accounting and Miscellaneous subsection, for other billing records.

♦♦3.[87] **Fiscal reports submitted to or received from the State University of New York (SUNY)** including operating report (budget) and annual report (year-end):
**RETENTION:** 6 years

# HOUSING

♦♦1.[102] **Residency occupancy records** including but not limited to room and board contracts and room assignment, and records pertaining to damage of dormitory equipment and furnishings:
**RETENTION:** 6 years after expiration of contract or room assignment

2.[104] **Off-campus rental records** including lists of landlords and/or listings indicating apartments or rooms available:
**RETENTION:** 0 after superseded or obsolete

# INSTRUCTION

1.[105] **Course listing** created for administrative convenience, containing department list of classes:
**RETENTION:** 0 after superseded

♦♦2.[106] **Instructor's course syllabus or lesson plan:**
**RETENTION:** 0 after no longer needed by community college

**NOTE:** The community college may wish to retain representative or outstanding course syllabi for future reference, as well as any useful class reading lists or bibliographies.

♦♦3.[107] **Instructor's grade records, test scores, and marking sheets,** including records documenting the evaluation of scientific models, biological specimens, chemical compounds or other objects or materials produced in lab or shop settings:
**RETENTION:** 2 years

4.[108] **List of students majoring in a field of study:**
**RETENTION:** 0 after superseded

5.[109] **Class schedule** including class title, location, dates, and time of meeting:
**RETENTION:** 6 years

♦♦6.[110] **Completed examination test papers and answer sheets:**
**RETENTION:** 6 months after course completion

♦♦7.[888] **Course or laboratory attendance records** necessary to provide documentation for student financial aid or other purposes:
**RETENTION:** 6 years

♦♦8.[112] **Records relating to tax-free use of alcohol** for educational purposes:
**RETENTION:** 6 years after expiration of permit or denial of application

9.[113] **Evaluations of course instructor:**
**RETENTION:** 3 years

♦♦10.[115] **Records of hypodermic syringes and needles** acquired for educational use or for administration of vaccines and other controlled substances to students and/or employees

a. Certificate of need for educational use:
**RETENTION:** 6 years after certificate expires

b. Other records, including records of purchase, inventory, destruction, loss or theft:
**RETENTION:** 6 years

# MISCELLANEOUS

♦♦1.[58] **Chartering documents and establishment plan** concerning the community college's corporate status and degree-granting authority, including background materials:
**RETENTION:** **PERMANENT**

♦♦2.[118] **Fire safety inspection reports prepared pursuant to Section 807-b, Education Law:**
**RETENTION:** 3 years

**NOTE:** Although Section 807-b of Education Law authorizes community college officials to destroy these reports after 3 years, the State Archives strongly urges that the "official" or "record" copies of these reports be retained for 21 years to meet possible legal needs, including personal injury litigation that may involve minors.

3.[69] **Special event file**

a. Official copy of any program or promotional literature or photograph of events or games:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation:
**RETENTION:** 6 years

♦♦4.[889] **Institutional information/reports which must be sent or made available** to enrolled and prospective students and the public, under Sections 668.41, et seq. of *34CFR*, including related records, **exclusive of** campus security records required under Section 668.46 of *34CFR*

**NOTE:** For campus security records see item no. 891, below, as well as items found in the Public Safety section of this Schedule.

a. Financial assistance information, institutional information, completion or graduation rate information, completion or graduation rates for student-athletes report, and athletic program participation rates and financial support data report:
**RETENTION:** 6 years after issued, superseded or obsolete, whichever is later

**NOTE:** Institutional information and reports may have long-term value to document college policies and the status of various college programs, especially if that information is not readily available in catalogs or other sources. For that reason, officials may wish to retain these records permanently to document these policies and programs.

b. Notice of availability of information/reports as distributed or made available to enrolled and prospective students:
**RETENTION:** 3 years after issued, superseded or obsolete, whichever is later

c. Designation of employee(s) authorized to assist enrolled and prospective students obtain the information/reports:
**RETENTION:** 3 years after superseded

♦♦5.[890] **Commencement records**

a. Official copy of commencement program or other publication:
**RETENTION:** **PERMANENT**

b. Other commencement records, including but not limited to copies of speeches, press clippings and press releases, and event planning and logistics records:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records such as speeches and photographs may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦♦6.[891] **Campus safety records**

**NOTE:** College security units should use the Public Safety section of this Schedule whether or not they have been recognized as accredited law enforcement agencies. This item covers records that must be maintained under Section 668.46 of *34CFR* (Institutional Security Polices and Crime Statistics).

**NOTE:** Sexual offense or alcohol or drug abuse investigation records are covered by item no. 460 in the Public Safety section, Law Enforcement: General subsection. Lists and other records of parolees and sex offenders are covered by item nos. 468 and 830 in the Public Safety section, Law Enforcement: Miscellaneous subsection. Accident or incident reports that are not crime related are covered by item nos. 31 and 32 in the General section.

a. Annual security report:
**RETENTION:** **PERMANENT**

b. Notice of availability of the annual security report and related records as distributed or made available to enrolled and prospective students and current and prospective employees:
**RETENTION:** 3 years after issued, superseded or obsolete, whichever is later

c. Designation of employee(s) authorized to assist enrolled and prospective students obtain the annual security report and related records:
**RETENTION:** 3 years after superseded

d. Crime statistics, including lists of crimes by location and relevant maps, other than those statistics included in the annual security report:
**RETENTION:** 3 years

e. Crime logs:
**RETENTION:** 3 years

♦♦7.[124] **College-related reports, studies or data queries,** including their supporting documentation, covering subjects such as institutional research, graduation rates, enrollment projections, ethnicity and other student profiles, faculty-student class ratios, honors lists, and fiscal matters

a. Annual or semester reports submitted to the U.S. Department of Education, State University of New York (SUNY), or local sponsor(s), including the institutional profile, other reports, studies or queries having legal or fiscal value, and verifications of data following submission by the college:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Some of these reports and studies, including their detailed documentation, may

contain significant information valuable for long-term planning as well as historical and other research. Contact the State Archives for additional advice.

b. Reports, studies or queries having no legal or fiscal value, such as daily activity or other routine internal reports:
**RETENTION:** 0 after no longer needed

♦♦8.[892] **Student activity or organization records**

a. Lists of members or participants, records of activities, competitions and performances, and other records of officially supported student activities and organizations **except** scouting records and scouting and training videotapes:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Photographs and videotapes of programs for certain competitions and performances may have historical value in documenting student activities. Records with historical value should be retained permanently.

**NOTE:** Parental consents are covered by item no. 71 in the Student Records subsection. Health related records are found in the Public Health section of this Schedule.

b. Scouting reports and videotapes used for scouting and training purposes, **not** associated with intercollegiate athletics:
**RETENTION:** 0 after no longer needed

♦♦9.[893] **Food management records**

a. Program participation or other legal agreement or contract, including attachments and amendments:
**RETENTION:** 6 years after termination of agreement

b. Other program records, including but not limited to application to participate as a sponsor, individual student participation application records, meal counts and dietary services studies, requisition and approval of requisition for donated commodities, menus, and fiscal records such as adding machine tapes, purchase orders, claims and vouchers:
**RETENTION:** 6 years

♦♦10.[894] **Food inspection and investigation records**, including inspection report for preparation or serving area and food sanitation complaint investigation records

a. When any significant problem is encountered:
**RETENTION:** 3 years after oldest person involved attains age 18

b. When **no** significant problem is encountered:
**RETENTION:** 3 years

# PRESIDENT

♦♦1.[119] **President's office files** including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts and other legal documents, and also including association or organization membership files covering affiliation with or membership in professional, education or civic groups, including the National Junior College Athletic Association (NJCAA), by the college as a whole or some department or unit thereof

a. Where file documents a significant subject, or major policy-making or program-development process:
**RETENTION:** **PERMANENT**

b. Where file documents routine activity:
**RETENTION:** 6 years or 6 years after expiration of contract, as appropriate

# STUDENT RECORDS

♦♦1.[60] **Admissions records** including but not limited to application, entrance examinations and reports, letters of recommendation, transcripts from secondary schools and other colleges and universities, acceptance letters, advanced placement records, evaluations, and supporting documentation

a. For applicants who are accepted and attend:
**RETENTION:** 6 years after graduation or date of last attendance

**NOTE:** If admission records for students who enter are made part of student records, see item no. 121, below. Duplicate copies retained by a separate admissions office can be disposed of when no longer needed.

b. For applicants who are accepted and do not attend, and applicants who are not accepted:
**RETENTION:** 2 years following date of exclusion or end of permitted enrollment period for accepted applicants

**NOTE:** Community colleges may wish to keep these records longer for international students, for convenience of access by both college personnel and the prospective or accepted students.

♦♦2.[121] **Student academic records**

a. Student permanent academic record (transcript):
**RETENTION:** **PERMANENT**

b. Change of grade documents, withdrawal authorizations, graduation certification, Social Security certification, student roster and attendance verification records such as class roster, or final grade listing and student schedule:
**RETENTION:** 6 years

c. Other student records including but not limited to academic action authorizations (dismissals and/or notification of problems); employment placement records; records of internships served; records of selection for and participation in remedial assistance, second language, academic honors, or other special academic programs; and assessment of life/work experience information for academic credits:
**RETENTION:** 6 years after graduation or date of last attendance of student(s) involved

d. Change in Social Security number record, application for veteran's benefits and enrollment certification and related records:
**RETENTION:** 3 years

e. Application for graduation, change of course (drop/add) records, credit/no credit (audit) approval, name and/or sex change authorization, pass/fail request, registration form, and request by student for transcript or other record:
**RETENTION:** 1 year

f. Unclaimed diplomas:
**RETENTION:** 1 year

**NOTE:** Community colleges may wish to keep these records longer for convenience of both college personnel and graduates who may request their diploma at some later date.

♦♦3.[895] **Non-credit and continuing education records**

a. Individual attendee records, including but not limited to residence verification, program participation application, summary of participant achievements and attendance, record of courses taken including grades and test results, **but excluding** test papers and answer sheets:
**RETENTION:** 6 years

**NOTE:** If participation in a non-credit or continuing education course is pertinent to an enrolled student's academic requirements, attendee records should be

maintained as part of the student's academic records as indicated by item no. 121, above.

b. Test papers and answer sheets:
**RETENTION:** 6 months

♦♦4.[896] **Student information system** containing electronic information on academics, financial matters, and other aspects of student life, regardless of whether or not similar information is contained in series covered by other items found in this Schedule

a. Basic data on any student contained in or produced by an automated student information system, including name, age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class, courses taken, and grades:
**RETENTION:** 6 years after graduation, date of last attendance, or financial accounting, whichever is later

**NOTE:** This information may be valuable for long-term planning and evaluation purposes by college administrators, and for instances where students reenter the college later in life. In addition, it may be useful in historical or other research. Creation of a "history file" in the information system may be a useful way to maintain this more important information. Contact the State Archives for additional advice.

b. Detailed data on any student contained in or produced by an automated student information system, **other than** financial aid data:
**RETENTION:** 6 years

c. Financial aid data on any student contained in or produced by an automated student information system:
**RETENTION:** 6 years or 6 years after loan is repaid, canceled or assigned, whichever is longer

♦♦5.[122] **Records of compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA) and related legislation** concerning access to student education records and participation in surveys on or activities in designated areas

a. Request for hearing on content of student education records, decision of hearing, and student statement on content of disputed record:
**RETENTION:** Retain for the same period the disputed records are maintained

b. Record of requests for access to and disclosures of personally identifiable information from the student education records, as required by FERPA regulations:
**RETENTION:** Retain for the same period the requested records are

maintained

**NOTE:** For records of requests for student information which are not subject to FERPA requirements, see item no. 10 in the General section of this Schedule. Requests by students for information on themselves are covered by item no. 121e, above.

c. Request for nondisclosure of directory information or non-participation in surveys on or activities in designated areas:
**RETENTION:** 1 year after request is terminated or is no longer valid or 1 year after the concerned records are no longer maintained

d. Consent for records disclosure:
**RETENTION:** 1 year after consent is terminated or 1 year after the concerned records are no longer maintained

e. Waiver of right to inspect and review confidential letters and statements placed in student education records:
**RETENTION:** 1 year after waiver is terminated or 1 year after the concerned records are no longer maintained

f. Directory Information Policy Statement:
**RETENTION:** **PERMANENT**

g. Annual or other notice of rights under FERPA or related legislation concerning access to student records or participation in surveys on or activities in designated areas:
**RETENTION:** 3 years after issued or superseded or obsolete, whichever is later

6.[123] **Proof of residence records**

a. Community college copy of certificate of residence:
**RETENTION:** 6 years

b. Lists of students residing in different political jurisdictions:
**RETENTION:** 1 year after superseded or obsolete

♦♦7.[125] **Scholarship records**

a. Individual scholarship file including but not limited to applications, list of eligible candidates, list of competition winners and alternates, recommendations, authorization of awards, financial statements, accounting data, reports, and correspondence:
**RETENTION:** 6 years

b. List of scholarships awarded students:
**RETENTION:** **PERMANENT**

♦♦8.[897] **Records of gifts and prizes (other than scholarships) awarded students**:
**RETENTION:** 3 years

♦♦9.[898] **Student degree and grade audit records**, other than those found in the student academic records, covered by item no. 121, above:
**RETENTION:** 6 years

♦♦10.[899] **Student disciplinary records,** including but not limited to suspension notice, suspension hearing record, probationary condition adherence record, expulsion records, correspondence, fine assessment, and related records:
**RETENTION:** 6 years after the end of the academic year

11.[117] **Student grievance records** including but not limited to grievance, investigative records, hearing proceedings, decision rendered, student appeal, records of arbitration procedure, final decision and correspondence:
**RETENTION:** 6 years after grievance resolved

♦♦12.[900] **Recruitment records**, other than recruitment of individual student athletes, including but not limited to plans and strategies, lists of potential students, records of socio-ethnic composition of student body, records of college planning workshops and visits by parents and prospective students, and relevant statistics, exclusive of records of individual prospective students as covered by item no. 901, below:
**RETENTION:** 3 years

♦♦13.[901] **Records relating to individual prospective students who do not apply for admission,** including resumes:
**RETENTION:** 1 year

14.[71] **Parental consent record:**
**RETENTION:** 6 years

♦♦15.[902] **Nursing education program eligible list of candidates**, received from New York State Education Department:
**RETENTION:** 3 years after the end of the academic year

# COMMUNITY DEVELOPMENT/ URBAN RENEWAL

♦♦1.[126] **Master summary record** (log or register) documenting all activity of agency, covering housing rehabilitation, tenant relocation, economic development, property acquisition and resale, program participant applications, loan or mortgage issuance, special projects and various contacts:
**RETENTION:** **PERMANENT**

2.[127] **Federal assistance application** submitted annually to U.S. Department of Housing and Urban Development or successor agency:
**RETENTION:** **PERMANENT**

♦♦3.[903] **Denied or withdrawn applications** for participation in any community development program:
**RETENTION:** 3 years

♦♦4.[904] **Financial and statistical reports, studies or data queries,** including their documentation

a. Reports, studies or queries having legal or fiscal value, including annual reports created from Integrated Dispersal and Information System (IDIS) or other automated system:
**RETENTION:** 6 years

**NOTE:** Appraise records covered by part "a" for archival value. Reports and studies containing data needed to supplement or explain narrative reports (which are maintained permanently and are covered by item no. 23 in the General Section) may be valuable as well as the narrative reports themselves. Contact the State Archives for additional advice.

b. Reports, studies or queries having no legal or fiscal value, such as daily activity or other routine internal reports:
**RETENTION:** 0 after no longer needed

♦♦5.[128] **Case files** of community development or urban renewal agency

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Contact the State Archives for additional advice.

a. Economic development case file, including but not limited to application, copy of loan approved, financial statements, progress reports, copies of plans and specifications, and correspondence:
**RETENTION:** 6 years after final payment on loan

b. Business or resident relocation case file, including but not limited to vacation notice, income and need determination records, field reports, estimates of expenditures, copies of property acquisition records, rent collection records and correspondence:
**RETENTION:** 6 years after last entry in record, final payment on loan or discharge of mortgage, whichever is later

c. Housing rehabilitation case file, including but not limited to application, notice of approval, contract, grant or loan agreement, copies of real property records, building department records, rental assistance records, specifications, property description, certificate of completion and correspondence:
**RETENTION:** 6 years after completion of project, final payment on loan or discharge of mortgage, whichever is later

d. Property acquisition case file, including but not limited to maps, plans and specifications; rent collection records and copies of tenant relocation records; demolition records; records of property improvements; advertisements of property for sale; bids and records of bid acceptance or refusal; property description; appraisal and eminent domain records, and correspondence:
**RETENTION:** 6 years after sale of property by local government

**NOTE:** Rent collection records and copies of tenant relocation records need only be retained for 6 years.

e. Property purchase and resale case file, such as F.H.A. or real property tax foreclosure, including but not limited to copies of real property records, foreclosure records, copies of building department records, property description, records of property improvements, advertisement of sale, bids and records of bid acceptance or refusal, copy of sale agreement and correspondence:
**RETENTION:** 6 years after sale of property by local government, final payment on loan or discharge of mortgage, whichever is later

f. Public/community service project case file, such as involving community housing development organizations, including but not limited to project applications, interim financial and progress reports, inspection reports, notes and correspondence, **but excluding** final reports:
**RETENTION:** 6 years after completion of project

g. Final reports on public/community service projects:
**RETENTION:** **PERMANENT**

h. Home acquisition program case files, financed by federal HOME program or other funding source, including but not limited to application, review records and copies of mortgage documents:

**RETENTION:** 6 years after date of most recent entry in record, final payment on loan or discharge of mortgage, whichever is later

i. Housing investigation case record for lead poisoning, when investigation is not part of case files covered by other parts of this item:
**RETENTION:** 7 years after case closed

j. Vouchers and financial claims for payment or reimbursement related to community development cases:
**RETENTION:** Retain as long as related case file is retained

k. Photographs, architects' plans and sketches of buildings, streets and urban areas from all case files:
**RETENTION:** 6 years after building no longer owned by local government

**NOTE:** Appraise these records for historical significance prior to disposition. Some photographs, plans and sketches may have continuing value for architectural, historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦6.[279] **Lower income housing rental assistance records** (created under Section 8 of the Housing and Community Development Act of 1974)

a. Master summary record (index, log or register) of applications and payments:
**RETENTION:** **PERMANENT**

b. Case file, including but not limited to applications for assistance, eligibility determination records, certifications, worksheets, correspondence and rental agreements:
**RETENTION:** 6 years after denial of application, termination of agreement or close of case

# COOPERATIVE EXTENSION ASSOCIATION

## BASIC ADMINISTRATIVE RECORDS

1.[129] **Organizational and establishment records**, including constitution, bylaws and approval of organization and administration by Cornell University:
**RETENTION:** **PERMANENT**

2.[130] **List of members, "enrollment" or equivalent record:**
**RETENTION:** **PERMANENT**

3.[131] **Lists of board members, officers, agents and employees** (known as "organization reports"):
**RETENTION:** **PERMANENT**

4.[132] **Election records**

a. Election results:
**RETENTION:** **PERMANENT**

b. Ballots, nominations, tabulations and other election records:
**RETENTION:** 1 year after election

5.[133] **Program records** on individual courses or programs offered the public

a. Official copy of any literature or other material available to the public:
**RETENTION:** **PERMANENT**

b. Summary record describing course or program offering and/or its progress and results:
**RETENTION:** **PERMANENT**

c. Listing of participants:
**RETENTION:** 6 years

d. Other course or program materials:
**RETENTION:** 1 year after course or program discontinued

e. Advice and referral records, covering information provided to individuals

in person or over the telephone or Internet, including but not limited to telephone logs and individual call records:
**RETENTION:** 6 months

6.[134] **Program or other non-fiscal audit or review** conducted by Cornell University or other agency

a. Report and recommendations:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation:
**RETENTION:** 6 years

♦7.[601] **Copies of exempt organization income tax records**, including all records generated to assist Cornell University in filing income tax return for county associations, and copy of filed tax return:
**RETENTION:** 6 years

# FOOD AND NUTRITION EDUCATION PROGRAMS

♦1.[602] **Reports resulting from Expanded Food and Nutrition Education Program (EFNEP), or similar program**

a. Annual or final reports:
**RETENTION:** **PERMANENT**

b. Quarterly, monthly or other periodic reports:
**RETENTION:** 2 years

♦2.[603] **Case record of family participating in Expanded Food and Nutrition Education Program (EFNEP) program**, or similar program, including but not limited to plan of work, work reports, diagnostic reports, progression record:
**RETENTION:** 1 year after becoming inactive

♦3.[604] **4-H youth participant records for Expanded Food and Nutrition Education Program (EFNEP)** program, or similar program, including lists of participants, enrollment records and lists of youth contacts:
**RETENTION:** 6 years

♦4.[605] **List, log or other summary record of visits** resulting from Expanded Food and Nutrition Education Program (EFNEP) program, or similar program:

**RETENTION:** 6 years

♦5.[606] **Master summary record of families served** by Expanded Food and Nutrition Education Program (EFNEP) program, or similar program:
**RETENTION:** **PERMANENT**

♦6.[607] **Records relating to persons not served** by Expanded Food and Nutrition Education Program (EFNEP) program, or similar program, including eligibility screening records, withdrawn applications, and referrals:
**RETENTION:** 2 years

# MISCELLANEOUS

♦1.[608] **Farm animal disease test records**

a. Cattle disease test records, including but not limited to summary report for each herd (to which test results have been posted), brucellosis or tuberculosis test results and calf vaccination report:
**RETENTION:** 10 years

b. Inspection and related records for farm animals other than cattle:
**RETENTION:** 3 years

♦2.[609] **Log or index** of seniors served by local aging services program:
**RETENTION:** 6 years

♦3.[610] **Individual senior services client file**, including but not limited to screening records, applications, evaluations, and follow-up report:
**RETENTION:** 6 years after last entry

♦4.[611] **Surplus food distribution records**, covering federally donated food and related commodities, including but not limited to inventory, order form, eligibility determination records, authorizing receipt and reports on storage and distribution:
**RETENTION:** 4 years

♦5.[612] **Records created in the establishment, change, or dissolution of a county agricultural district**, regardless of approval or denial:
**RETENTION:** **PERMANENT**

♦6.[613] **Soil test results for farmland soil sample**, including nutrient analysis and recommendations:

**RETENTION:** 3 years

♦7.[614] **Dairy farm business summary records**

a. Annual farm business summary for individual farm:
**RETENTION:** **PERMANENT**

b. Data entry and other records, used in compiling summary record:
**RETENTION:** 0 after no longer needed

c. Summary data and other information for all participating farms:
**RETENTION:** **PERMANENT**

♦8.[615] **Watershed farmer's case file**, including but not limited to farm management assessment, environmental assessment, plan evaluation, whole farm plan and supporting data:
**RETENTION:** **PERMANENT**

♦9.[616] **Tractor, equipment or firearm safety training records**

a. Official training records, including parental consent, certificate of training and summary of attendance and test results:
**RETENTION:** 6 years, but not less than 3 years after attendee attains age 18

b. Listing of course participants, and detailed attendance records:
**RETENTION:** 6 years

c. Summary record describing course or program offering and/or its progress and results:
**RETENTION:** 6 years after course or program no longer offered

d. Other course program materials:
**RETENTION:** 1 year after course or program discontinued

# DISASTER PREPAREDNESS

♦1.[135] **Disaster preparedness or crisis relocation records**

a. Official copy of plans, including supporting maps, when prepared by local government under provisions of Section 23, Executive Law:
**RETENTION: PERMANENT**

b. Copies of plans held by local government, including supporting maps, when official copies prepared under Section 23, Executive Law, are maintained by county or other local government which created them, along with other disaster preparedness plans, not prepared under Section 23, Executive Law, intended for specific buildings or for use by specific local government units:
**RETENTION:** 3 years after superseded

c. Background materials and supporting documentation used in preparation of plans:
**RETENTION:** 3 years

♦2.[136] **Disaster response and damage files** compiling information on the response of all agencies to a major disaster, including such records as photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence:
**RETENTION: PERMANENT**

# ECONOMIC/INDUSTRIAL DEVELOPMENT

♦1.[137] **Business/industry loan case file**, including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence:
**RETENTION:** 6 years after denial of application or 6 years after final payment on loan

2.[138] **Master summary record** (log or register) documenting contacts and inquiries and resulting responses and actions taken by agency personnel:
**RETENTION: PERMANENT**

# EDUCATIONAL OPPORTUNITY CENTER

♦1.[618] **Program approvals** for center and/or program operation, including approvals from State University of New York (SUNY) and New York State Education Department (SED):
**RETENTION: PERMANENT**

♦2.[619] **Establishment records** for educational opportunity center or former urban center:
**RETENTION: PERMANENT**

♦3.[620] **Annual or other summary statistical report** relating to enrollment, graduations, terminations, student finances, ethnicity and grades:
**RETENTION: PERMANENT**

♦4.[621] **Director's office files** including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts and other legal documents

a. Where file documents a significant subject, or major policy-making or program-development process:
**RETENTION: PERMANENT**

b. Where file documents routine activity:
**RETENTION:** 6 years

♦5.[622] **Course informational program file**

a. Official copy of any literature or other material made available to the public:
**RETENTION: PERMANENT**

b. File on each instructional course or program:
**RETENTION:** 1 year after course or program discontinued

♦6.[623] **Curriculum development records** including but not limited to course worksheets, evaluations, and recommendations:
**RETENTION:** 7 years

♦7.[624] **Official copy of course listing**:
**RETENTION: PERMANENT**

♦8.[625] **Course outline:**
**RETENTION:** 6 years

♦9.[626] **Class record** including class number and title, location, date and time class meets, student attendance:
**RETENTION:** **PERMANENT**

♦10.[627] **Admissions data** including but not limited to acceptance letter, application, income eligibility records, placement testing records, letters of recommendation, and transcripts from schools

a. For applicants who enter (when **not** included in student folder):
**RETENTION:** 6 years after graduation or date of last attendance

b. For applicants who do not enter whether accepted or not:
**RETENTION:** 2 years following date of admission or exclusion

♦11.[628] **Student folder**

a. Basic documentation, including but not limited to course or program application or registration, income eligibility records, graduation report, reports of grades (including change of grade records), summary attendance information, termination records, name change records, social security number change records, application for veterans' benefits, student counseling records and student summary disciplinary records:
**RETENTION:** 6 years after graduation or date of last attendance

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Educational opportunity center student records covered by part "a" may be valuable in documenting EOC services to economically and educationally disadvantaged persons in the center's service area. Contact the State Archives for additional advice.

b. Supplemental documentation, including but not limited to test papers and answer sheets, copy of high school equivalency diploma, copies of and requests for transcripts and routine correspondence:
**RETENTION:** 1 year

♦12.[629] **Student's attendance record (register),** including but not limited to each student's name, address, and daily attendance, absence and tardiness:
**RETENTION:** 6 years

♦13.[630] **Student request for counseling or assistance** relating to emotional, psychological, personal, social, academic, or vocational concerns:
**RETENTION:** 6 years

♦14.[631] **Termination record** containing academic, attendance-related or disciplinary termination information not contained in student folder:
**RETENTION:** 0 after no longer needed

♦15.[632] **Student grievance records** including but not limited to grievance, investigative records, hearing proceedings, decision rendered, student appeal, records of arbitration procedure, final decision and correspondence:
**RETENTION:** 6 years after grievance resolved

♦16.[633] **Student disciplinary records** (other than those contained in student folder) including but not limited to suspension or disciplinary notice, hearing record, and correspondence:
**RETENTION:** 6 years

♦17.[634] **List of students enrolled in specific course or program:**
**RETENTION:** 0 after superseded

♦18.[635] **Class schedule** including class title, location, dates, and time of meeting:
**RETENTION:** 6 years

♦19.[636] **College preparation or other examination records** (examination results being posted to student folder), including examination questions, test papers and answer sheets:
**RETENTION:** 1 year

♦20.[637] **Statistical compilation or reports of students provided counseling services:**
**RETENTION:** 0 after no longer needed

♦21.[638] **Request for academic, attendance or other information on disabled student** from Vocational and Educational Services for Individual With Disabilities (VESID) of State Education Department, or other agency:
**RETENTION:** 6 years

♦22.[639] **Periodic (other than annual) fiscal reports submitted to the State University of New York (SUNY)**:
**RETENTION:** 6 years

♦23.[640] **Radiation use log** including user name, date, film size, quantity, screen, and length of time in facility where radiation is in use:
**RETENTION:** 4 years after graduation

# ELECTION

♦1.[139] **Voter registration records**, including register of voters and pollbook:
**RETENTION:** 5 years

**NOTE:** Appraise these records for historical significance prior to disposition, especially when **not** duplicated at a county board of elections. Records with historical value should be retained permanently. Even though certain voter registration records are retained permanently by county boards of elections, municipalities and districts may wish to retain these records longer, if not permanently, for convenience of reference and for research purposes, if they contain information not found at county boards. See also item no. 150, below. Contact the State Archives for additional advice in this area.

♦2.[140] **Vote recording and tabulating records**

a. Sample ballot:
**RETENTION:** **PERMANENT**

b. Voted ballot:
**RETENTION:** 1 year after election

c. Application for absentee ballot:
**RETENTION:** 30 days after election

d. Final election results, including election inspectors' return and statement of canvass (where information is **not** duplicated in report of final election results) and election result reports from town, city, village, or district clerk, or county board of elections:
**RETENTION:** **PERMANENT**

e. Intermediate records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results by wards or election districts and election inspectors' returns and statements of canvass (where information **is** duplicated in report of final election results):
**RETENTION:** 1 year after election

3.[141] **Election readiness records**, including certification of testing of voting machines, record of ballot delivery, or similar records:
**RETENTION:** 1 year after election

4.[142] **Election officials' appointment records**, including notice of appointment, oath of office, and record of service:
**RETENTION:** 1 year after election

5.[143] **Notification and publication of notice of forthcoming election**

a. Official copy of election notice:
**RETENTION:** **PERMANENT**

b. Proof of publication or posting, certification and listing of notice posting, copy of newspaper notice and certification of offices to be voted for at forthcoming election:
**RETENTION:** 1 year after election

♦6.[144] **Referendum records**, covering any question, recall or special election, including but not limited to actual petitions, records of signature verification and correspondence

**NOTE:** Certain records documenting establishment, incorporation, annexation, consolidation, dissolution or charter revision must be retained permanently; see item no. 280 in the Miscellaneous section.

a. Summary records documenting request or need for referendum, such as records of public hearing, narrative justification accompanying petition, reports and correspondence dealing with pros and cons of issue at question:
**RETENTION:** **PERMANENT**

b. Other referendum records, including actual petitions, records of signature verification and routine correspondence:
**RETENTION:** 1 year after election

♦7.[145] **Election officials' training and qualifications records**:
**RETENTION:** 3 years

8.[146] **Candidate designation or nomination records**, including petitions, certificate, declination of nomination, objection to nomination, and related records:
**RETENTION:** 1 year after election

9.[147] **Certificate of acceptance of office**:
**RETENTION:** 1 year after person leaves office

♦10.[148] **Election challenge or investigation records**:
**RETENTION:** 6 years after last entry

**NOTE:** Appraise these records for historical significance prior to disposition. Records which document significant investigations and challenges to election results may possess historical value and should be retained permanently. Contact the State Archives for additional advice.

♦11.[149] **Records of election financing and/or campaign receipts, contributions and campaign expenses, including attached copies of political advertisements and literature,** including but not limited to report of campaign receipts and expenditures, waiver of report, party committee's designation of treasurer and depository and statement of authorization or non-authorization by candidate:
**RETENTION:** 5 years

**NOTE:** Campaign financing is a major public policy issue. Therefore, the State Archives preserves state-level campaign finance records and the New York City Board of Elections preserves City campaign finance records. Preservation of these archival records will maintain vital evidence for future research about campaign financing. County boards of elections have the option to preserve these financing statements longer than 5 years if they find the need to do so. Likewise, local governments may wish to preserve all or some campaign finance records beyond the five year minimum in those instances where the elections involved are hotly contested and serious local issues are involved. Contact the State Archives for more advice if necessary.

♦12.[150] **Informational records received from county board of elections**, including lists of election officials, enrollment or registration lists, district maps and instructional materials:
**RETENTION:** 0 after superseded or obsolete

♦13.[641] **Agency assisted voter registration records**

a. Signed declination form, containing person's declination to register to vote:
**RETENTION:** 22 months

b. Participating agency's copies of transmittal forms, used to accompany copies of completed voter registration applications or change of address forms, submitted to county board of elections:
**RETENTION:** 1 year

# ELECTRIC AND GAS UTILITY

1.[151] **Operational permit records**, including application, copy of permit and correspondence:
**RETENTION:** 6 years after denial of application or expiration, renewal or revocation of permit

♦2.[152] **Construction, modification, demolition or retirement records** for electric or gas production plant and transmission and distribution system, including but not limited to detailed construction specifications and other supplementary documentation, progress and completion reports, work orders, memoranda, worksheets, records of inspection and work evaluation and correspondence:
**RETENTION:** 10 years after retirement of plant or system

**NOTE:** Appraise these records for historical significance prior to disposition. Significant records deriving from the construction, retirement or other major changes in municipal power facilities may have long-term value deriving from and relating to the importance of these facilities in the community and should be retained permanently. Contact the State Archives for additional advice.

3.[153] **Gas and electric utility reports**

a. Station or system power generation report:
**RETENTION:** 25 years

b. Station or system inspection report, including operating tests:
**RETENTION:** 6 years

c. Inspection and repair reports on street openings, such as for correcting gas leaks:
**RETENTION:** 6 years

d. Analysis of gas produced and purchased, including BTU and sulfur content:
**RETENTION:** 6 years

e. Gas measuring records:
**RETENTION:** 3 years

f. Gas pressure department reports:
**RETENTION:** 3 years

4.[154] **Substation, transformer, pole, tower or generator records**, or records of other specific component part of system, including sketches and measurements; and installation, maintenance and discontinuance information:
**RETENTION:** 6 years after component part replaced or its use discontinued

**NOTE:** All records relating to any gas pipeline designed to operate at 125 PSIG or more must be retained as long as that pipeline remains in service, per Section 255.17 (b) of *16NYCRR*.

5.[155] **Log book of electric or gas plant** or any part of electricity or gas production, transmission and distribution system:
**RETENTION:** 6 years after last entry

6.[156] **Charts, graphs and related data recording records**

a. Summary chart, graph or equivalent record compiled from records of original entry showing long term trends and developments:
**RETENTION:** **PERMANENT**

b. Recording chart or other record of original entry, including load curve; and temperature, pressure, specific gravity or water level chart:
**RETENTION:** 3 years

c. Gas measuring records, when information is transferred to summary record:
**RETENTION:** 6 months

d. Gas measuring records, when information is not transferred to summary record:
**RETENTION:** 1 year

e. River flow data collected in connection with hydro-electric plant operation:
**RETENTION:** **PERMANENT**

7.[157] **Municipal lighting records**, including but not limited to installation, repair, inspection and replacement records for street lights and other lighting devices:
**RETENTION:** 6 years after device no longer in use

8.[158] **Subsidiary ledgers** or journals of electric or gas utility:
**RETENTION:** 50 years

9.[159] **Service interruption records**, including but not limited to storm damage, downed and severed power lines, circuit overloading or other related power failure or transmission problem, or apparatus failure reports for gas utility:
**RETENTION:** 6 years

10.[160] **Board of Fire Underwriters' certificate:**
**RETENTION:** 3 years

11.[161] **Records of electric or gas meter tests:**
**RETENTION:** 2 years after subsequent test conducted, but not longer than 6 years

12.[162] **Electric or gas meter history records:**
**RETENTION:** 0 after meter no longer in use

# ELECTRONIC DATA PROCESSING

## GENERAL ADMINISTRATION

♦1.[642] **Data processing unit subject files, correspondence, memoranda, reports, publications, and related records** used to support the administration of data processing services. This item does not include local government Information Resource Management (IRM) plans, long-range or strategic plans, EDP and IRM policies, records that document fiscal transactions, and any records covered by other items in this schedule:
**RETENTION:** 0 after superseded or obsolete

♦2.[643] **Information resources management and data processing services plans**, local government IRM plans, data processing services plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas

a. Master copy of plan and essential background documentation:
**RETENTION:** Retain for 3 planning cycles after the plan is completed, superseded, or revised.

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Some of these records may document the development and advancement of technology used by the local government. Contact the State Archives for additional advice in this area.

b. Copies, drafts, and routine material:
**RETENTION:** 0 after no longer needed

♦3.[644] **Data processing policies**, records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership:
**RETENTION:** 3 years after policy is withdrawn, revised, updated, or superseded

♦4.[645] **Data processing product/vendor and state contracts reference files**, information on data processing equipment, software, and other products and their vendors:
**RETENTION:** 0 after no longer needed for reference

# SYSTEMS AND APPLICATION DEVELOPMENT

♦1.[646] **Application development project files**, records created and used in the development, redesign, or modification of an automated system or application including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. This item does not cover system or application documentation (see item nos. 647 and 648):
**RETENTION:** 3 years after completion of project

**NOTE:** In some circumstances, local governments may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see item nos. 647 and 648.

♦2.[647] **Data systems specifications**, user and operational documentation describing how an application system operates from a functional user and data processing point of view including records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or workflow records, system specifications, and input and output specifications. This item does not cover data documentation and other records used to explain the meaning, purpose, or origin of data (see item no. 648):
**RETENTION:** 3 years after discontinuance of system, but not before system data is destroyed or transferred to new operating environment

♦3.[648] **Data documentation**, records generally created during development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements (sometimes known as metadata):
**RETENTION:** 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format

**NOTE:** In some cases, local governments will retain data for extended periods, sometimes offline. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in

electronic form or the related records are appraised as archival. Application design documentation and user guides covered by item no. 647 may also serve to explain how data was interpreted and used. Contact the State Archives for additional advice in this area.

♦4.[649] **Automated program listing/source code**, automated program code which generates the machine-language instructions used to operate an automated information system:
**RETENTION:** Retain for 3 system update cycles after code is superseded or replaced.

**NOTE:** This item coincides with item no. 656, system backup files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice; i.e., that 3 generations of backups be retained (see item no. 656).

♦5.[650] **Technical program documentation**, paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs:
**RETENTION:** 1 year after replacement, modification, or related programs cease to be used

**NOTE:** Local governments may consider retaining documentation for critical systems for a longer period. Contact the State Archives for additional advice in this area.

♦6.[651] **Test database/files**, routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system:
**RETENTION:** 0 after no longer needed, but **not** before user accepts and management reviews and approves test results

# COMPUTER OPERATIONS AND TECHNICAL SUPPORT

♦1.[652] **Data processing operating procedures**, records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation:
**RETENTION:** 3 years after procedure is withdrawn, revised, updated, or superseded

♦2.[653] **Data processing hardware documentation**, records documenting the use,

operation, and maintenance of a local government's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems:
**RETENTION:** 0 after the local government no longer uses related hardware and all data is transferred to and made useable in new hardware environment

**NOTE:** Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis, using item no. 18 in the General section.

♦3.[654] **Operating system and hardware conversion plans**, records relating to the replacement of equipment or computer operating systems:
**RETENTION:** 1 year after successful conversion

♦4.[655] **Disaster preparedness and recovery plans**, records related to the protection and reestablishment of data processing services and equipment in case of a disaster:
**RETENTION:** 0 after superseded by revised plan

**NOTE:** The State Archives recommends that local governments store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.

♦5.[656] **System backup files**, copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction:
**RETENTION:** 0 after 3 system backup cycles

**NOTE:** Backups used to document transactions or retained for purposes other than system security are covered by the relevant sections of this schedule. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases. These records should be disposed using items from the Fiscal section of this schedule. It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.

♦6.[657] **System users access records**, created to control or monitor individual access to a system and its data, including but not limited to user account records and password files:
**RETENTION:** 0 after the individual no longer has access to the system, **but not before** audit requirements for the records modified by that individual have

been met.

**NOTE:** System users access records and computer usage records may also serve some security purposes.

♦7.[879] **Computer system security records,** records used to control or monitor the security of a system and its data, including but not limited to intrusion detection logs, firewall logs, logs of unauthorized access, and other security logs:
**RETENTION:** 10 years after date of last entry

♦8.[658] **Computer usage files**, electronic files or automated logs created to monitor computer system usage including but not limited to login files, system usage files, charge-back files, data entry logs, and records of individual computer program usage:
**RETENTION:** 0 after 3 system backup cycles

♦9.[659] **Summary computer usage reports**, summary reports and other paper records created to document computer usage for reporting or cost recovery purposes:
**RETENTION:** 1 fiscal year after creation

♦10.[660] **Computer run scheduling records**, records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run:
**RETENTION:** 0 after end of current fiscal year

♦11.[661] **Input documents**, copies of records or forms designed and used solely for data input and control when the data processing unit provides centralized data input services and original records are retained by the program unit:
**RETENTION:** 0 after all data has been entered into the system and, if required, verified

**NOTE:** Input records retained for fiscal audit or legal purposes, or, containing information needed by a local government, are covered by the relevant section of this schedule. Input records that document valid transactions are covered by item no. 663. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal section of this schedule.

♦12.[662] **Work/intermediate files**, records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system, including "macro" or "startup" file or other electronic record created to preserve a combination of data elements and/or method of displaying these data elements

a. When export, import or relational data file is used to supply data to or receive data from other system, or to exchange data between files in this system:
**RETENTION:** 0 after no longer needed

**NOTE:** This data may have secondary value beyond the purpose for which it is created. Consider additional uses for this data in determining when it is no longer needed.

b. When all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail:
**RETENTION:** 0 after the transaction is completed.

**NOTE:** This item does not cover intermediate files retained to recreate or document valid transactions, to serve as an audit trail, or needed for system recovery backup.

c. When electronic file is needed to recreate or document a valid transaction, such as creation of a specific report or study:
**RETENTION:** Retain as long as the reports, studies and other principal records for which the file is created are retained.

**NOTE:** A local government's ability to recreate or properly document the output may be tied to long-term retention of these records. Contact the State Archives for additional advice regarding the long-term retention of electronic records.

♦13.[663] **Valid transaction files**, records used to update and/or document a transaction in database or master file including valid transaction files, database management system (DBMS) log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes:
**RETENTION:** 0 after 3 database/master file backup cycles

**NOTE:** Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, are covered by the relevant sections of this schedule.

♦14.[664] **Print files** (not used to document a transaction), source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers,

registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions:
**RETENTION:** 0 after all print runs are completed, output verified (if required), and local government has no need to reproduce the report

**NOTE:** Print files needed for fiscal audits or retained to document transactions are covered by the relevant sections of this schedule.

♦15.[665] **Audit trail files**, data generated during the creation of a master file or database used to validate a master file or database during a processing cycle:
**RETENTION:** 0 after 3 database/master file backup cycles

♦16.[666] **Data processing unit's copies of output reports**, data processing unit's copy of output reports produced for client program units:
**RETENTION:** 0 after output is distributed

♦17.[667] **Summary or extracted data files**, summary or aggregate data from a master file or database, including "snapshots" of data, created solely to distribute data to individuals or program units for reference and use, but not altered or augmented to support program-specific needs:
**RETENTION:** 0 after data is distributed

**NOTE:** Appraise these records for historical significance prior to disposition. Some snapshots of data, created and maintained as either electronic files saved to disk, tape or diskette, or as hard-copy output such as printed maps, or in both formats, may warrant longer retention. Contact the State Archives for additional advice on the creation and maintenance of these records.

♦18.[668] **Finding aids (indexes) or tracking systems**, electronic indexes, lists, registers, and other finding aids used only to provide access to the hard copy and electronic records in the custody of the data processing unit:
**RETENTION:** 0 after the related hard copy or electronic records have been destroyed

**NOTE:** Finding aids and tracking systems of program units other than data processing units are covered by the relevant sections of this schedule and are frequently covered by the same item covering related program records.

♦19.[669] **Automated tape library system files**, automated records used to control the location, maintenance, and disposition of magnetic media in a tape library:
**RETENTION:** 0 after related records or media are destroyed or withdrawn from the tape library

♦20.[670] **Reports on the destruction of files ("scratch reports")**, records containing information on the destruction of files stored on electronic media in a tape library:
**RETENTION:** 0 after superseded or (if required) management review and approval

♦21.[671] **Tape library control records**, records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs:
**RETENTION:** 0 after superseded

## DATA ADMINISTRATION

♦1.[672] **Data/database dictionary records**, usually in an automated system, used to manage data in a local government's information systems including information on data element definitions, data structures or file layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use, or origin of data:
**RETENTION:** 0 after discontinuance or modification of the related application but not before the application's data is destroyed or transferred to a new structure or format

♦2.[673] **Data/database dictionary reports**, periodic printouts from a data/database dictionary system including data element attribute reports, database schema, and related records used for reference purposes:
**RETENTION:** 0 after superseded or obsolete

**NOTE:** The official copy of essential data documentation is covered by either item no. 648 or no. 672.

## USER/OFFICE AUTOMATION SUPPORT

♦1.[674] **Site/equipment support files**, records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda

a. Site visit reports, problem and equipment service reports, and routine correspondence and memoranda:

**RETENTION:** 3 years after creation

b. Service histories and other summary records:
**RETENTION:** 0 after the related equipment is no longer in use

♦2.[675] **Help desk telephone logs and reports**, records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes:
**RETENTION:** 1 year after creation

♦3.[676] **Software review files**, records related to the review and recommendations for software for local government use including vendor information, manuals, software reviews, and related material:
**RETENTION:** 0 after obsolete

## NETWORK/DATA COMMUNICATION SERVICES

♦1.[677] **Network site/equipment support files**, records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda

a. Site visit reports, trouble reports, and related correspondence:
**RETENTION:** 3 years after creation

b. Service histories and other summary records:
**RETENTION:** 0 after the related equipment or site is no longer in use

c. Routine records that do not contain substantial information on the maintenance history or site:
**RETENTION:** 1 year

♦2.[678] **Inventories of circuits**, automated or paper records containing information on network circuits used by the local government including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit:
**RETENTION:** 0 after the circuit is no longer used by the local government

♦3.[679] **Network or circuit installation and service files**, copies of requests by local

governments to service provider for data communication service, installation, or repair and response to the request including work orders, correspondence, memoranda, work schedules, and copies of building or circuitry diagrams:
**RETENTION:** 1 year after request is filled or repairs are made:

♦4.[680] **Network usage files**, electronic files or automated logs created to monitor network usage including but not limited to login files and system usage files:
**RETENTION:** 0 after 3 system backup cycles after creation

♦5.[681] **Network usage reports**, summary reports and other records created to document computer usage for reporting or other purposes:
**RETENTION:** 1 fiscal year after creation

♦6.[682] **Network implementation project files**, local government records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams:
**RETENTION:** 0 after superseded

## INTERNET SERVICES

♦1.[683] **Internet services logs**, electronic files or automated logs created to monitor access and use of local government services provided via the Internet, including, but not limited to, services provided via FTP (file transfer protocol), or website, or Telnet services:
**RETENTION:** 0 after 3 backup cycles, but not before relevant audit and documentation requirements have been met

♦2.[684] **Employee Internet use logs**, electronic files or automated logs created to monitor and control use of the Internet by employees, including but not limited to proxy server logs:
**RETENTION:** 0 after 3 backup cycles, but not before any appropriate review and verification

# ENERGY

♦1.[167] **Energy consumption monitoring records** showing use of electricity or fuel or operation of heating and/or cooling equipment, or energy audit, when **not** relating to facility owned or operated by local government:
**RETENTION:** 1 year

**NOTE:** Energy consumption monitoring records showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility, is covered by item no. 878 in the Public Property and Equipment section.

♦2.[685] **Weatherization client case files**, covering assistance provided to individuals and families to improve heating efficiency and reduce fuel expenditures, including but not limited to application, income documentation, description of property and work needed to improve heating efficiency, results of energy efficiency testing, description of work performed, copies of fuel bills, fuel information form, landlord agreement, notes and correspondence:
**RETENTION:** 6 years after date of last entry

♦3.[686] **Master listing of clients** participating in weatherization program:
**RETENTION:** 6 years

♦4.[687] **Annual state plan** (final copy) for weatherization assistance program:
**RETENTION:** 6 years

♦5.[688] **Status report** on clients referred to local subgrantee agency:
**RETENTION:** 1 year

♦6.[689] **Interagency referral form**, maintained by referring agency:
**RETENTION:** 1 year

# ENVIRONMENTAL HEALTH

**NOTE:** Records relating to laboratories are listed in the Public Health section, Laboratory subsection. Radiological health records are now found in that section as well. Lead poisoning records are covered by item no. 406 in the Public Health section, Miscellaneous subsection.

## ANIMAL INDUSTRY AND VETERINARY MEDICINE

**NOTE:** See also item no. 608 in the Cooperative Extension Association section, Miscellaneous subsection.

♦1.[168] **Rabies and animal bite records**

a. Antirabies protection certificate:
**RETENTION:** 5 years

b. Records concerning certification of area for rabies, including but not limited to correspondence, notices, and copy of resolution:
**RETENTION:** 20 years

c. Investigation records for bite or other potentially dangerous contact with animal, including potentially rabid animal:
**RETENTION:** 6 years

## MISCELLANEOUS

1.[169] **Environmental disturbance permit file**:
**RETENTION: PERMANENT**

2.[171] **Property acquisition or regulation file** documenting acquisition of real property or easements for drainage control or other environmental health purposes:
**RETENTION: PERMANENT**

♦3.[172] **Master summary record** of applications relating to realty subdivisions, private water supply, private sewage disposal systems, or hazardous substance (or petroleum) spill, release or investigation records:
**RETENTION: PERMANENT**

♦4.[170] **Spill, release or investigation records** covering hazardous substance or petroleum

a. Records of investigation of spill or release of hazardous substance exceeding minimum reportable quantity (as defined in *6NYCRR*, Section 597.2, Table 1):
**RETENTION:** **PERMANENT**

b. Records of investigation of spill or release of hazardous or toxic substance **not** exceeding minimum reportable quantity (as defined in *6NYCRR*, Section 597.2, Table 1):
**RETENTION:** 7 years after close of investigation

c. Records of investigation of spill or release of petroleum (as defined in *6NYCRR*, Section 597.1 (7)) exceeding 25 gallons:
**RETENTION:** **PERMANENT**

d. Records of investigation of spill or release of petroleum (as defined in *6NYCRR*, Section 597.1 (7)) **not** exceeding 25 gallons:
**RETENTION:** 7 years after close of investigation

♦5.[173] **State and local sanitary and related code violation records**, including locally enacted regulations, such as "clean indoor air acts"

a. Violation files:
**RETENTION:** 3 years after violation abated

b. Alleged but unfounded violation files:
**RETENTION:** 1 year after last entry

c. Master summary record (log or register) of complaints, violations and inspections:
**RETENTION:** 3 years after last entry

♦6.[690] **Records of minor repairs, enlargements or cleaning** of drainage ditches, or in drainage districts, including but not limited to those defined in Sections 15-1943 and 15-1945, Environmental Conservation Law:
**RETENTION:** 6 years after date of completion of work

♦7.[691] **Hazardous waste site identification records**, including survey of suspected hazardous waste disposal sites, including that created pursuant to Section 27-1303,

Environmental Conservation Law; copy of state registry listing of sites for a specific jurisdiction; review of registry listings; and determination and notification records for newly identified sites:
**RETENTION: PERMANENT**

♦8.[692] **Informational copies of reports and studies**, received from environmental facilities or from county or state agencies, including copies of reports created pursuant to Section 5-1.72 of *10NYCRR*, public health hazard notification, or relating to unsatisfactory water samples, watershed rules violations, and water quality monitoring violations, including testing records and records of action taken by supplier of water to correct violations:
**RETENTION:** 0 after no longer needed

## ENVIRONMENTAL FACILITIES: GENERAL

♦1.[693] **Capital construction or public improvement project file for environmental facility**, covering water treatment plant; public water supply system; wastewater treatment plant and disposal system; and solid waste management facility (including landfill gas recovery facility)

a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; construction inspection reports; final or "as built" plans, maps, designs, sketches, architectural drawings and photographs; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; retrofitting records; and significant correspondence:
**RETENTION: PERMANENT**

**NOTE:** Some draft or intermediary plans, maps, designs, sketches or architectural drawings, or detailed construction specifications may need to be retained permanently under part "a," above, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition under part "b," below. Contact the State Archives for additional advice.

b. Supplementary documentation, including interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence, detailed construction specifications and **draft or intermediary** plans, maps, designs, sketches or architectural drawings:

**RETENTION:** 6 years after completion of project or date of most recent entry, whichever is longer

c. Unsuccessful bids, to which contract is **not** awarded:
**RETENTION:** 6 years

d. All records, when project is proposed but **not** undertaken:
**RETENTION:** 6 years after date of last entry

**NOTE:** Appraise these records for historical significance prior to disposition. Certain records for important environmental facility projects that are proposed but not undertaken may have historical and other research value and should be retained permanently. Contact the State Archives for additional advice.

♦2.[181] **Permit or registration files for construction, operation and maintenance** of environmental facility, covering water treatment plant; public water supply system; wastewater treatment plant and disposal system; and solid waste management facility (including landfill gas recovery facility):

a. Permit, application, approval or disapproval; related plans, maps, specifications and engineering drawings; variance from New York state regulations, approval of use of emergency source of water, approval to supply water to or take water from other system, approval of fluoridation process, progress and inspection reports, final and annual reports, summaries of data collected relating to permit issuance, and significant correspondence:
**RETENTION:** **PERMANENT**

b. Routine correspondence, cover and internal memoranda, draft or intermediary plans, designs and photographs, detailed data that has been summarized in other records, and other records of transitory value:
**RETENTION:** 6 years after date of last entry

♦3.[183] **Component part** sketches, measurements, installation, inspection and maintenance records:
**RETENTION:** 6 years after part replaced or its use permanently discontinued

♦4.[694] **Automated operating system records,** covering Supply Control and Data Acquisition (SCADA) or equivalent systems, covering operation, monitoring, problems or emergencies, and maintenance of environmental facility

a. Detailed data collected from sensors or monitors, and detailed reports generated from such data:
**RETENTION:** 0 after no longer needed

**NOTE:** Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements, such as those contained in Section 756.2(c), *6NYCRR*. It is recommended that local government environmental facilities store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:
**RETENTION:** 5 years

**NOTE:** Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. Contact the State Archives for additional advice in this area.

♦5.[184] **Log** or equivalent record containing information such as changes in pressure and level, proportion of chemicals present, operational changes, problems and emergencies, and personal observations

a. Containing summary information collected at periodic intervals and information on significant readings, events or observations:
**RETENTION:** **PERMANENT**

b. Containing all or routine information collected at frequent intervals:
**RETENTION:** 5 years

**NOTE:** If no logs containing summary information are generated, local government environmental facilities may wish to retain all or some records covered by part "b" of this item, for both long-term administrative use and for potential research purposes.

**NOTE:** Certain inspection logs of solid waste management facilities must be retained for 7 years after date of inspection. See item no. 712, below.

♦6.[185] **Charts, graphs and similar records** of pumpage, flow, pressure, emissions, temperature, levels of chemicals, and related information

a. Summary records showing long-term trends and developments:
**RETENTION:** **PERMANENT**

b. Records of original entry, containing significant information:
**RETENTION:** 10 years

c. Records of original entry, containing **only** routine information with no long-term value:
**RETENTION:** 1 year

**NOTE:** Some of these records may need to be retained longer to meet both administrative needs and legal requirements, such as those contained in Section 756.2(c), *6NYCRR*. Consult your attorney or counsel and the State Department of Environmental Conservation to determine which records, if any, must be retained longer than 1 year.

d. Intermediary records, compiled from records of original entry, but **not** showing long-term trends and developments:
**RETENTION:** 5 years

7.[186] **Operator qualifications records:**
**RETENTION:** 6 years after disapproval, renewal, or expiration of approval

♦8.[695] **Reports, studies or data queries,** including those generated from SCADA or equivalent environmental facility operating system (including documentation of macros, queries, and reports), when **not covered** by specific report items in this section:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise the records for archival value. Reports and studies documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

♦9.[696] **Environmental facility alarm, problem and emergency records**

a. Narrative records documenting serious problems or emergencies, including charts, graphs, and data necessary to support such records:

**RETENTION:** **PERMANENT**

b. Records documenting minor or routine alarms or problems, including detailed data generated by automated systems when certain parameters are exceeded:
**RETENTION:** 5 years

c. Contingency or similar plans to deal with emergency situations:
**RETENTION:** **PERMANENT**

# ENVIRONMENTAL FACILITIES: PUBLIC WATER SUPPLY

♦1.[187] **Permits, approvals**, and related records, **excluding** those related to public water supply system construction or operation, covered by item no. 181, above.

a. Approval necessary for connection to public water supply system:
**RETENTION:** 6 years after connection no longer in use, or after denial of application

b. Waiver or variance from mandatory disinfection or other requirements:
**RETENTION:** 5 years after superseded or invalid

c. Permit files for fluoridation plans, backflow prevention devices, fire pump chlorinators, distribution of bottled or bulk water, or for interconnecting water systems, where local government agency issues permit:
**RETENTION:** 6 years after cessation of operation or denial of application

d. Informational copies of permit records for fluoridation plans, backflow prevention devices, fire pump chlorinators, distribution of bottled or bulk water, or for interconnecting water systems, where State Department of Health issues permit:
**RETENTION:** 0 after no longer needed

♦2.[188] **Reports and studies** relating to plant, system or facility operation

a. Annual and final reports (including annual report submitted to federal Environmental Protection Agency [EPA]), comprehensive water supply study and report, special studies and detailed reports, including facility inspection reports, reports on watershed rules and rules violations, sanitary

surveys, comprehensive performance evaluations, environmental facility monitoring, overall operational reports and reports of emergencies, containing summary or detailed information of long-term value:
**RETENTION:** **PERMANENT**

b. Reports and studies covering routine information only, not covered by other item in this Schedule:
**RETENTION:** 0 after no longer needed

c. Monthly operational report submitted to New York State Department of Health:
**RETENTION:** 5 years

**NOTE:** Appraise the records for archival value. Reports and studies documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

d. Records relating to water quality monitoring violations, watershed rules violations or unsatisfactory water samples, and major changes in aquifer or watershed, including test results and records of corrective actions taken:
**RETENTION:** 5 years after superseded

**NOTE:** Appraise these records for long-term uses prior to disposition, warranting longer, if not permanent, retention. These records may be useful in the future in documenting cases of serious drinking water contamination. Contact the State Archives for additional advice.

♦3.[697] **Water systems periodic operation reports**, created pursuant to *10NYCRR*, Section 5-1.72 (d) and forwarded to county health department or regional office of New York State Department of Health

a. Report of microbiological sample results (copy retained by supplier of water):
**RETENTION:** 5 years

b. Report of surface water systems, showing chemical and turbidity analyses, (copy retained by supplier of water):
**RETENTION:** 10 years

♦4.[189] **Reports** not relating directly to system or treatment facility construction or operation

a. Operational and testing records for fire pump chlorinator, backflow prevention device, where local agency issues permit:
**RETENTION:** 5 years

b. Informational copies of operational and testing records for fire pump chlorinator, backflow prevention device, where State Department of Health issues permit:
**RETENTION:** 0 after no longer needed

c. Report of bottled or bulk water distribution:
**RETENTION:** 3 years

d. Small privately owned water system detailed evaluations, including sanitary surveys and comprehensive performance evaluations:
**RETENTION:** 10 years after superseded

e. Interstate water carrier reports and other records:
**RETENTION:** 10 years

♦5.[698] **Automated hydrological monitoring system records,** covering system infrastructure, system service area or aquifer

a. Detailed data collected from sensors or monitors (both collected by this system or obtained from another source, such as a SCADA system), and detailed reports generated from such data:
**RETENTION:** 0 after no longer needed

**NOTE:** Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. In some cases it may be necessary to maintain this detailed data as long as reports or studies based on the data are retained. It is recommended that local government environmental facilities store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:
**RETENTION:** 5 years

**NOTE:** Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. In some cases it may be necessary to maintain this detailed data as long as reports or studies based on the data are retained. Contact the State Archives for additional advice in this area.

♦6.[699] **Reports, studies, analytical models or data queries,** generated from hydrological monitoring system (including documentation of macros, queries, and reports), when **not covered** by specific report items in this section

a. Reports and studies documenting major system operational capabilities and proposed modifications, long-range water use planning and aquifer or watershed protection, and/or for long-term planning, for historical and other research, or leading to major future capital expenditures:
**RETENTION:** **PERMANENT**

b. Report and studies of short-term or transitory value, containing incomplete or otherwise invalid data, or drafts generated in the process of creating reports and studies covered by part "a," above:
**RETENTION:** 0 after no longer needed

♦7.[700] **Water supply emergency plan**, prepared pursuant to Section 1125, Public Health Law and Section 5-1.33 of *10NYCRR*, including revisions and review records

a. Copy maintained by public water supplier:
**RETENTION:** **PERMANENT**

b. Copy held by local health agency:
**RETENTION:** 5 years after superseded

# ENVIRONMENTAL FACILITIES: WASTEWATER TREATMENT

♦1.[701] **Permits, approvals**, and related records, **excluding** those related to system or treatment facility construction or operation, covered by item no. 181, above, or those relating to receiving significant industrial or high-discharge users, covered by item no. 702, below.

a. Approval necessary for connection to wastewater disposal system:
**RETENTION:** 6 years after denial or approval

b. Permit for septic tank cleaner or industrial waste collectors to deliver waste to treatment facility:
**RETENTION:** 6 years

♦2.[702] **Records relating to receipt and pretreatment of significant industrial or other high-discharge waste**

a. Permits for discharge of effluent into wastewater treatment system and related records, such as copies of SPDES permits issued to waste generator, discharge monitoring reports, detailed intake records, and laboratory test results:
**RETENTION:** 6 years after denial, renewal or expiration of permit

b. Summary records of waste received for treatment, including records relating to waste received that exceeds acceptable volume or content parameters:
**RETENTION:** 20 years

**NOTE:** Certain records covered by parts "b" and "c" relating to significant industrial or other high-discharge waste generation and disposal may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

c. Survey or similar records of significant industrial or other high-discharge waste generators in an area served by a specific wastewater treatment facility:
**RETENTION:** 5 years after superseded or obsolete

♦3.[703] **Reports and studies** relating to plant, system or facility operation

a. Annual and final reports (except annual report submitted to federal Environmental Protection Agency [EPA]), comprehensive wastewater study and report, special studies and detailed reports, including facility inspection reports, sanitary surveys, environmental facility monitoring, overall operational reports and reports of emergencies, containing summary or detailed information of long-term value:
**RETENTION:** **PERMANENT**

b. Annual report submitted to federal Environmental Protection Agency (EPA), also known as "503 report":
**RETENTION:** 5 years

**NOTE:** As a rule this report does not contain as useful information as do the monthly discharge and operation reports, covered by part "d," below. However, facilities which include more information in this report may wish to retain these reports longer, even permanently, for administrative or research reasons. Contact the State Archives for additional information.

c. Filter inspection reports (such as sieve analysis) for wastewater treatment system:
**RETENTION:** 5 years

d. Monthly discharge monitoring and operation reports, submitted to New York State Department of Environmental Conservation in conjunction with SPDES permit requirements:
**RETENTION:** 5 years after facility no longer in use

**NOTE:** Appraise the records for archival value. Data contained in these reports may be valuable for long-term planning and for historical and other research, warranting permanent retention of these records. Contact the State Archives for additional advice.

e. Septic tank cleaner or industrial waste collector reports and related records:
**RETENTION:** 6 years

f. Reports and studies covering routine information only, not covered by other item in this Schedule:
**RETENTION:** 0 after no longer needed

♦4.[704] **Records relating to sludge, biosolids, unprocessable solids or other waste byproduct** produced as a result of wastewater treatment process, including both detailed records of waste byproducts generated, including laboratory test results and individual load transfer records, and summary records of waste byproducts produced (including unprocessable solids) and disposed of by facility:
**RETENTION:** 5 years

**NOTE:** Certain records relating to sludge, biosolids, unprocessable solids or other waste byproduct produced as a result of wastewater treatment process may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

♦5.[705] **Records relating to leachate received from solid waste management facilities**

for processing, including both detailed records of leachate received, including laboratory test results and individual load delivery records and summary reports and other records of leachate received and disposed of:
**RETENTION:** 5 years

**NOTE:** Certain records relating to leachate received from solid waste management facilities for processing may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

♦6.[706] **Co-composting records**, including but not limited to testing records for materials used and product generated, and marketing and distribution records, including both detailed records, including laboratory test results and individual load delivery records and summary reports and other records of materials used and compost generated and its distribution:
**RETENTION:** 5 years

**NOTE:** Certain records relating to co-composting may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

# ENVIRONMENTAL FACILITIES: SOLID WASTE MANAGEMENT FACILITIES

**NOTE:** Records relating to co-composting facilities are covered in the Environmental Facilities: Wastewater Treatment subsection, immediately above.

**NOTE:** Records relating to disposal of sludge, biosolids, unprocessable solids or other waste byproduct produced as a result of wastewater treatment process, are covered by item no. 704, above. Records relating to public educational recycling programs are covered by item nos. 11 and 12 in the General section.

♦1.[707] **Permit for use of solid waste management facility** by business or resident of local government:
**RETENTION:** 6 years after denial or expiration of permit

♦2.[708] **Reports and studies** relating to plant, system or facility operation

a. Annual summary reports, final reports, special studies and detailed reports, including facility inspection reports, environmental facility monitoring, overall operational reports and reports of emergencies, water

quality records, containing summary or detailed information of long-term value:
**RETENTION:** **PERMANENT**

b. Quarterly or monthly or operational reports, including reports of exceedances generated by resource recovery facilities and condensate sampling reports of landfill gas recovery facilities:
**RETENTION:** 10 years

**NOTE:** Appraise the records for archival value. Reports documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

c. Detailed tonnage or similar reports (**including** summary reports or other records generated from individual load delivery records) which contain significant information, for solid waste management facility:
**RETENTION:** 10 years

d. Monthly discharge monitoring and operation reports, submitted to New York State Department of Environmental Conservation in conjunction with SPDES permit requirements, for use of water as coolant, including thermal water temperature data:
**RETENTION:** 5 years

e. Reports and other records of unauthorized waste collected and its final disposition, created pursuant to Section 360-1.14 (i-1), *6NYCRR*:
**RETENTION:** 5 years

f. Reports and studies covering routine information only, not covered by other item in this Schedule:
**RETENTION:** 0 after no longer needed

♦3.[190] **Hazardous waste collection and disposal records**

a. Summary reports and other records of substances and quantities collected and disposed of by outside transfer:
**RETENTION:** **PERMANENT**

b. Individual load delivery and other detailed records, including manifest form:
**RETENTION:** 10 years

**NOTE:** Certain records covered by part "b" may warrant longer retention for legal and administrative reasons, because of the toxic nature of materials collected and transported for disposition at another site. Contact your attorney or counsel to determine if longer retention of these records is necessary.

c. Contract for removal of materials collected, along with related performance bond or certificate of insurance:
**RETENTION:** 6 years after superseded or invalid

♦4.[191] **Individual load delivery records** for solid waste management facility (including materials recycling facility - MRF), including "scalehouse" information records

a. Individual load delivery records for residential waste:
**RETENTION:** 6 years*

b. Individual load delivery records for **other than** residential waste:
**RETENTION:** 10 years*

c. Summary reports and other records created from individual load delivery records:
**RETENTION:** 10 years

***NOTE:** The individual load delivery records may be disposed of after 1 year, providing the summary records created from them contain sufficient information on the date of disposal, name of the generator, transporter and disposer of the waste, types and quantity of waste disposed. To ascertain if the summary records suffice to meet requirements of the State Department of Environmental Conservation, contact D.E.C.'s Division of Solid and Hazardous Materials at (518) 402-8660.

d. Reports and studies covering routine information only, not covered by other item in this Schedule:
**RETENTION:** 0 after no longer needed

e. Automated "scalehouse" data file, containing information on type, weight and source of waste collected and disposed of, as well as billing information:
**RETENTION:** 10 years after information is superseded or invalid

♦5.[192] **Proof of liability insurance coverage** (insurance policy, certificate of insurance

or equivalent record), and proof of financial assurance for solid waste management facility

a. For landfill:
**RETENTION:** 30 years after closure of landfill

b. For solid waste management facility other than landfill:
**RETENTION:** 6 years after closure of facility

♦6.[193] **Recycling marketing records**, including but not limited to annual, final or summary reports and studies, and background files on markets and materials:
**RETENTION:** 6 years

**NOTE:** Routine marketing reports and other records are covered by item no. 708f, above.

♦7.[194] **Recycling waste collection** annual or summary records and reports, including necessary supporting data:
**RETENTION:** **PERMANENT**

♦8.[709] **Records relating to ash, leachate, or other waste byproduct** generated and/or disposed of by solid waste management facility

a. Detailed records of waste byproducts generated, including laboratory test results, leaching potential test report and individual load transfer records:
**RETENTION:** 5 years

b. Summary records of waste byproducts generated and/or disposed of by facility:
**RETENTION:** 10 years

**NOTE:** Certain records covered by parts "a" and "b" relating to ash, leachate other waste byproduct generated and/or disposed of by solid waste management facility may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

♦9.[710] **Local solid waste management plan**, created pursuant to Section 27-0107, Environmental Conservation Law, covering all updates, and including necessary supporting documentation:
**RETENTION:** **PERMANENT**

♦10.[711] **Research, development or demonstration project or program files,** including required permits and related records created pursuant to Section 360-1.13, *6NYCRR*, official copy of publications, videotapes, or informational literature prepared as a result of the project, background materials and supporting documentation:
**RETENTION:** 6 years after project or program ends

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. If research, development or demonstration projects or programs deal with significant subjects of a scientific or public improvement nature, then certain documentation from these files, such as summary reports and resulting publications, should be retained permanently.

♦11.[712] **Self-inspection records of solid waste management facility**, created pursuant to Section 360-1.14 (f-3) and (i-2), including inspection log:
**RETENTION:** 7 years from date of inspection

♦12.[713] **Landfill closure records**, including but not limited to site investigation records, conceptual and final closure plans, environmental and facility monitoring records, close and post-closure registration report, closure construction certification report, and periodic inspection reports

a. All records, except periodic routine inspection reports, routine notes, memoranda, correspondence and detailed data collected as part of project:
**RETENTION:** **PERMANENT**

b. Routine notes, memoranda, correspondence and detailed data collected as part of project:
**RETENTION:** 30 years after date of closure

c. Periodic routine inspection reports:
**RETENTION:** 7 years after date of closure

# ENVIRONMENTAL MANAGEMENT

1.[195] **Natural resource inventory** and listing of open areas and wetlands, including official copy of final inventory or report, final maps, surveys, photographs and background materials and supporting documentation:
**RETENTION: PERMANENT**

♦2.[196] **Environmental quality review records**

a. Environmental impact statements and related reports:
**RETENTION: PERMANENT**

b. Background materials and supporting documentation used in preparing statements and reports:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. In the case of environmental impact statements prepared for major projects, supporting documentation may be very valuable, and the State Archives suggests local governments consider retaining these records permanently. Contact the State Archives for additional advice in this area.

♦3.[197] **Environmental protection and natural resources management plan**

a. Final plan and report:
**RETENTION: PERMANENT**

b. Background materials and supporting documentation:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Supporting documentation may be very valuable, and the State Archives suggests local governments consider retaining these records permanently. Contact the State Archives for additional advice in this area.

♦4.[714] **Fish stocking and other fishery records for lakes and streams**

a. Fishery surveys, including detailed collection records:
**RETENTION: PERMANENT**

b. Records of fish stocking:
**RETENTION:** 40 years

c. Other fishery records, including notes and routine correspondence:
**RETENTION:** 0 after no longer needed

♦5.[715] **Lake, river, stream or watershed study files**

a. Final and interim reports and studies, maps, photographs, significant correspondence and essential data collected as part of study:
**RETENTION:** **PERMANENT**

b. Notes, drafts, routine correspondence and non-essential data:
**RETENTION:** 0 after no longer needed

♦6.[716] **Flood control and beach erosion records**

a. Flood insurance maps, including all updates:
**RETENTION:** **PERMANENT**

b. Other records, such as shoreline and flood hazard boundary maps, flood insurance surveys, and storm damage reports, and including records provided local officials by the State Department of Environmental Conservation, but **excluding** flood insurance maps:
**RETENTION:** 0 after superseded or obsolete

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. These records may be valuable for areas in the state where beach erosion and flood control have a major impact. Contact the State Archives for additional advice in this area.

# EXECUTIVE, MANAGER, AND/ OR ADMINISTRATOR

1.[198] **Executive, Manager, or Administrator's office files**, including but not limited to correspondence, memoranda, reports, studies, publicity items, non-record copies of contracts, and other legal documents

a. Where file documents a significant subject, or major policy-making or program-development process:
**RETENTION:** **PERMANENT**

b. Where file documents routine activity:
**RETENTION:** 6 years

# FISCAL

## AUDIT

◆1.[214] **Report of audit of financial affairs**

a. Audit filed pursuant to Section 35, General Municipal Law, conducted by Office of the State Comptroller or by New York City Comptroller or by an outside auditing firm:
**RETENTION:** **PERMANENT**

b. Other external audits:
**RETENTION:** 6 years

c. Internal audits, conducted by local government officials:
**RETENTION:** 6 years

2.[215] **Audit background documentation**, including summaries, posting records, and related records created by an auditing office as part of the auditing procedure:
**RETENTION:** 6 years

3.[216] **Audit hearing or review file**:
**RETENTION:** 6 years after audit accepted

## BANKING AND INVESTMENT

1.[217] **Banking communications**, including but not limited to bank statement, reconciliation, notification of voiding or return of check, cancellation of payment, or other notice for checking or savings account:
**RETENTION:** 6 years

2.[218] **Canceled check (including payroll check)**, or other instrument of payment, such

as bank check, warrant check, order check, or order to fiscal officer to pay when used as a negotiable instrument, including voided check:
**RETENTION:** 6 years

**NOTE:** It is recommended that a list of destroyed unused checks be created and maintained for legal or audit purposes.

3.[219] **Copy of check or check stub**:
**RETENTION:** 6 years

4.[220] **Depository agreement**, including designation of depository, bond or surety, or other record relating to deposition of local government funds:
**RETENTION:** 6 years after agreement, contract, designation, bond or surety has expired or been superseded or rescinded

5.[221] **Deposit book for checking account**:
**RETENTION:** 6 years after date of most recent entry

6.[222] **Deposit book for savings account**:
**RETENTION:** 6 years after cancellation

7.[223] **Deposit slip**:
**RETENTION:** 6 years

## BONDS AND NOTES

**NOTE:** The following record series provide disposition authority for records related to the issuance of bonds, notes or obligations. However, the actual bonds, notes or obligations are not covered by these items. Instead, bonds, notes or obligations may only be destroyed pursuant to Section 63.10 of the Local Finance Law. Questions should be addressed to the Office of the State Comptroller, Division of Legal Services, 110 State Street, Albany, NY 12236; phone, (518) 474-5586.

♦1.[224] **Bond issue preparation file**, covering bonds issued by local governments

a. Master summary record of bonds issued:
**RETENTION: PERMANENT**

b. Other records, including those relating to bond attorneys, preparation of

the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective or actual buyers, bond printing bids, bond ratings, and proof of publication of notice of estoppel:
**RETENTION:** 6 years after bond issue retired

2.[225] **Bond or note issue and cancellation register**, including information on the type, amount, number of obligations in issue, rate of interest, date of maturity, holders, cancellation of the bond or note, and other pertinent information:
**RETENTION:** 6 years after cancellation of last bond or note

♦3.[226] **Debt-contracting power statement** filed with Office of the State Comptroller before sale of bonds:
**RETENTION:** 6 years after bond issue retired

♦4.[227] **Master summary record of bonds, notes, or securities** purchased by the government for investment, identifying the security, the fund for which held, the place where kept, and listing the date of sale and the amount realized:
**RETENTION:** **PERMANENT**

♦5.[228] **Periodic reports and similar records** of yield received from or status of bonds, notes, securities or other obligations purchased for investment:
**RETENTION:** 6 years after bond issue retired

♦6.[717] **Records relating to exclusion of self-liquidating indebtedness** by a local government, including copy of application filed with Office of the State Comptroller, notice and proof of publication, and State Comptroller's written certificate:
**RETENTION:** 6 years after date of certificate

# BUDGET

♦1.[46] **Budget preparation file** for budget request or estimate submitted by department head, including but not limited to the preliminary or tentative budget, budget appropriation and staffing requests, estimates of revenues or expenditures, narrative of services, budget message, budget hearing and review files, and related records:
**RETENTION:** 6 years

2.[49] **Annual budget**

a. Official copy when not included in minutes:

**RETENTION:** **PERMANENT**

b. When budget is included in minutes:
**RETENTION:** 0 after officially recorded in minutes

c. Reporting office copy:
**RETENTION:** 0 after no longer needed

3.[50] **Special budget** filed with state or federal agency:
**RETENTION:** **PERMANENT**

4.[51] **Budget status report** on allocation, receipts, expenditures, encumbrances, and unencumbered funds

a. Cumulative report:
**RETENTION:** 6 years

b. Monthly or quarterly report:
**RETENTION:** 1 year

5.[52] **Budgetary change request**, (if not included in minutes) including approval or denial for change in approved budget and including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds:
**RETENTION:** 6 years

♦6.[718] **Copies of county, town or other budgets**, received and maintained for informational purposes:
**RETENTION:** 0 after no longer needed

## CLAIMS AND WARRANTS

♦1.[229] **Claim for payment** (approved or disallowed), including claim, vendor's voucher and bill:
**RETENTION:** 6 years

2.[231] **State or federal-state reimbursement claim file (federal revenue sharing)**, including but not limited to summary and detail of claim, worksheets and other supporting documents:
**RETENTION:** 6 years

3.[232] **Summary record of outstanding or paid warrants or claims**:
**RETENTION:** 6 years

4.[233] **Notice of claim record and index** as required by Section 50-f of the General Municipal Law:
**RETENTION:** 6 years after final disposition of claim

5.[234] **Order or warrant to pay monies**

a. For any funds held in a savings bank:
**RETENTION:** 20 years

b. For any funds **not** held in a savings bank:
**RETENTION:** 6 years

6.[235] **Outstanding warrants listing,** including adding machines tapes:
**RETENTION:** 6 years

7.[236] **Assignment of claim**:
**RETENTION:** 6 years after satisfaction or 10 years, whichever is less

# GENERAL ACCOUNTING AND MISCELLANEOUS

♦1.[199] **General ledger** showing summary receipts and disbursements from all funds and accounts:
**RETENTION:** 6 years after last entry

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. General ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government.

♦2.[200] **Subsidiary ledger** providing details of the general ledger accounts:
**RETENTION:** 6 years after last entry

**NOTE:** This does **not** apply to subsidiary ledgers of municipal electric utilities. See item no. 158 in the Electric and Gas Utility section.

**NOTE:** Appraise these records for historical significance prior to disposition. Records

with historical value should be retained permanently. Subsidiary ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government, if this detailed information is not contained in general ledgers.

♦3.[201] **Journal** recording chronological entries of all fiscal transactions:
**RETENTION:** 6 years after last entry

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Journals containing detailed entries that include information on payor, payee and purpose may be valuable in documenting financial transactions involving a local government.

4.[202] **Accounting register**, including but not limited to check register, transfer of funds register, encumbrance register, and register of claims presented for payment and paid claims:
**RETENTION:** 6 years after last entry

5.[203] **Cash transaction record** showing cash received from collection of various fees and petty cash disbursed:
**RETENTION:** 6 years

6.[204] **Tolls or fares collection record**, including but not limited to record of receipts and log of operations:
**RETENTION:** 6 years

7.[205] **Daily cash record**, including adding machine tapes, cashier's slips showing daily cash receipts and analysis of cash receipts:
**RETENTION:** 6 years

♦♦8.[206] **Notice of encumbrance** indicating funds encumbered and amount remaining unencumbered:
**RETENTION:** 6 years

♦♦9.[207] **Past due account fiscal records and summaries**:
**RETENTION:** 6 years after account satisfied or otherwise closed

10.[208] **Intermediary fiscal record of receipts and disbursements**, including but not limited to detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes:
**RETENTION:** 6 years

11.[209] **Abstract of receipts, disbursements, or claims**:

**RETENTION:** 6 years

12.[210] **Billing records covering services provided by local government**

a. Customer's individual account:
**RETENTION:** 6 years after last entry

b. Records used to determine billing and charges including "flat rate" computation record and copies of bills and charge slips:
**RETENTION:** 6 years

c. Billing address records:
**RETENTION:** 0 after superseded or obsolete

13.[211] **Bill of sale** of property owned by local government other than real property:
**RETENTION:** 6 years

14.[212] **Sales tax records**, covering sales tax collected by local governments and transmitted to State Department of Taxation and Finance:
**RETENTION:** 6 years

15.[213] **Tax exemption records**, showing that local government is exempt from paying sales, use or other taxes:
**RETENTION:** 1 year after superseded or obsolete

♦16.[719] **Payment recoupment records,** documenting the process of recovering monies paid erroneously by local government to employee, vendor or other payee:
**RETENTION:** 6 years after date of most recent entry in record

17.[237] **Receipt (received) or copy of receipt (issued)** other than for payment of taxes:
**RETENTION:** 6 years

♦18.[720] **Grant, award or gift files**, covering grants, awards and gifts given by local governments to other local governments, not-for-profit corporations, businesses or individuals

a. Master summary record of grants, awards or gifts:
**RETENTION:** **PERMANENT**

b. Detailed records of grants, awards and gifts, excluding master summary record:
**RETENTION:** 6 years

♦19.[721] **Credit card records** documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted:
**RETENTION:** 6 years

# PAYROLL

**NOTE:** The copy of payroll, or payroll report, submitted to civil service office for certification or approval, is covered by item no. 748 in the Personnel/Civil Service section, Civil Service subsection.

**NOTE:** The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for salary verification for retirement and social security purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary payroll information.

♦1.[291] **Payroll**, including information on gross and net pay, base pay, taxes, and other deductions

a. Year-end payroll, including detailed information necessary for salary verification for retirement and social security purposes:
**RETENTION:** 55 years

b. Periodic payroll, including detailed information necessary for salary verification for retirement and social security purposes, when **no** year-end payroll is maintained **or** year-end payroll does not contain this required detailed information:
**RETENTION:** 55 years

c. Periodic payroll, **not** including detailed information necessary for salary verification for retirement and social security purposes:
**RETENTION:** 6 years

d. Warrant authorizing payment of salaries based on a specific payroll, if maintained separate from payroll itself:
**RETENTION:** 6 years

e. Preliminary draft of payroll:
**RETENTION:** 0 after warrant authorizing payment of salaries is

signed

f. Local government's information copy of school, fire or special district payroll:
**RETENTION:** 0 after no longer needed

♦2.[292] **Payroll or related report** covering all employees or an individual employee, and **not** covered by specific item in this section

a. When needed for audit or other fiscal purposes:
**RETENTION:** 6 years

b. When **not** needed for audit or other fiscal purposes:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments may wish to retain records covered by item nos. 292 and 293 longer for social security or retirement documentation purposes.

3.[293] **Payroll distribution breakdown record** used to distribute or classify labor costs:
**RETENTION:** 6 years

4.[294] **Summary record of employee's payroll changes**:
**RETENTION:** 6 years after termination of employment

5.[295] **Employee's time cards, sheets, or books**:
**RETENTION:** 6 years

6.[296] **Record of employee absences or accruals**

**NOTE:** This item does **not** apply to an employee's time cards or sheets.

a. When **not** posted to periodic cumulative time summary record:
**RETENTION:** 6 years

b. When posted to periodic cumulative time summary record:
**RETENTION:** 1 year

♦7.[297] **Employee request for and/or authorization given to employee to use or donate sick, vacation, personal or other leave, or to work overtime**:
**RETENTION:** 6 years

8.[298] **Record of assignments, attachments, and garnishments of employee's salary**

a. When employment was terminated prior to satisfaction:
**RETENTION:** 6 years after termination of employment

b. When satisfied:
**RETENTION:** 5 years after satisfaction

♦9.[299] **Employee's voluntary payroll deduction request form**:
**RETENTION:** 5 years after authorization expires

10.[300] **Schedule or other notification from issuing bank** showing savings bond purchased for employee:
**RETENTION:** 5 years after latest bond issue

♦11.[301] **Employee's personal earnings record** used to prove end-of-year total earnings, retirement or other deductions and taxes withheld:
**RETENTION:** 6 years

**NOTE:** Local governments may need to retain these records longer for social security or retirement documentation purposes.

12.[302] **Employee's declaration of intention to accept or reject Social Security**:
**RETENTION:** 10 years after employee dies or reaches age 75, whichever is shorter

♦13.[303] **Quarterly or other periodic report of wages paid** prepared for Social Security, and report of any adjustments or corrections:
**RETENTION:** 6 years after year in which wages were reported

14.[304] **Copy of federal determination of error in wage reports** (Form OAR-S30 or equivalent record):
**RETENTION:** 6 years after determination received

15.[305] **Payroll report** submitted to New York State Employee's Retirement System, Policemen's and Firemen's Retirement System, or any other official pension system:
**RETENTION:** 6 years

♦♦16.[306] **Employer's copy of Annual Federal Tax Return (Form 940), Quarterly Federal Tax Return (Form 941E) and Continuation Sheets (Form 941a), Notice of Tax Return Due**

**(Form TY 14), or equivalent forms:**
**RETENTION:** 4 years after tax paid

♦♦17.[307] **Employer's copy of U.S. Information Return for Calendar Year (Form 1099), Withholding Tax Statement (Form W-2) or Transmittal of Wages and Tax Statements (Form W-3), or equivalent forms:**
**RETENTION:** 4 years

♦♦18.[308] **Employee's Withholding Exemption Certificate (Form W-4)**, or equivalent form:
**RETENTION:** 4 years after a superseding certificate is filed or employment is terminated

♦♦19.[309] **Employer's copy of New York state income tax records** relating to employees:
**RETENTION:** 4 years after tax was paid

♦20.[722] **Direct deposit records**, covering direct deposit of employee's salary, including but not limited to application to begin or terminate direct deposit, and transaction log or similar reports:
**RETENTION:** 5 years after authorization expires

♦21.[723] **Employee's declaration of intention to decline membership or participation in retirement system or benefit plan**, including copy of written notification of options provided employee by local government

a. For retirement system:
**RETENTION:** 6 years after termination of employment

**NOTE:** Local governments may wish to retain these records for the life of the employee. State legislation in effect between 1993 and 1996 allowed for retroactive retirement system membership, for employees who were not previously offered membership, and the possibility exists that similar legislation may be passed into law in the future. If this occurs, these declarations of non-membership may be valuable for local governments to document intentions of present or former employees.

b. For benefit plan:
**RETENTION:** 6 years after termination of employment

# PURCHASING

♦1.[496] **Purchase order, purchase requisition**, or similar record, used to obtain materials, supplies, or services:

**RETENTION:** 6 years

♦♦2.[498] **Purchasing file**, including but not limited to bid (successful, unsuccessful), contract, specifications and related records for purchase of materials, supplies and services **not** connected with capital construction:
**RETENTION:** 6 years after completion of purchase or 6 years after final payment under contract, whichever is later

**NOTE:** For capital construction, see item no. 415 in the Public Property and Equipment section and item no. 544 in the Transportation and Engineering section. Local governments may wish to retain records documenting purchases for additional periods if those records may be needed for warranty claims concerning the purchased items.

3.[499] **Vendor file**, including but not limited to list of vendors doing business with the local government, vendor evaluation forms, price lists or other information received from vendors:
**RETENTION:** 0 after obsolete

4.[500] **Performance guarantee** or written warranty for products or similar record:
**RETENTION:** 6 years after expiration

♦5.[501] **Invoice**, packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies:
**RETENTION:** 6 years

♦6.[502] **Invoice register**, or similar record used to list invoices:
**RETENTION:** 6 years after last entry

7.[504] **List or abstract of purchase orders, claims or contracts**:
**RETENTION:** 6 years

8.[505] **Standing order file**, used for purchase of materials and supplies which are received on a regular basis:
**RETENTION:** 6 years

♦9.[724] **Chargeback records**, showing specific fund to be charged for in-house expenditure:
**RETENTION:** 6 years

♦♦10.[905] **Canceled bids file,** including purchase requisitions, vendor solicitations, requests for proposals (RFPs), price quotations and related records concerning bids for goods or services which were canceled without a purchase being completed:
**RETENTION:** 1 year after subsequent procurement of the same goods or services completed under a re-initiated procurement, or 1 year after decision not to purchase such goods or services

# REPORTS

1.[238] **Daily, weekly, monthly, quarterly, or other periodic fiscal reports**, including but not limited to daily funds report, daily cash report, statement of monthly balances, recapitulation of disbursements, and departmental reports:
**RETENTION:** 6 years

2.[239] **Annual or final fiscal reports**

a. When report is **not** included in minutes:
**RETENTION:** **PERMANENT**

b. When report **is** included in minutes:
**RETENTION:** 0 after officially recorded

3.[240] **Fiscal reports from state agencies**:
**RETENTION:** 6 years

4.[241] **Fiscal report** on management of court funds and of securities or depositories in which court funds are invested or deposited:
**RETENTION:** 6 years

5.[242] **Certificate, demand or direction to fiscal officer to pay monies**:
**RETENTION:** 6 years

6.[243] **Verification of travel expenses**, including but not limited to certificate of accuracy and receipts:
**RETENTION:** 6 years

# HERITAGE AREA (URBAN CULTURAL PARK)

♦1.[725] **Management plan for heritage area (urban cultural park)**, created pursuant to Section 35.05, Parks, Recreation and Historic Preservation Law, including description of boundaries of park area, inventory and designation of cultural resources, statement of goals and objectives, identification of types of park uses, identification of properties for potential acquisition, description of exhibits and programs to be undertaken, economic assessment of the park's cost and benefits, description of techniques for preservation of cultural resources, description of organizational structure and schedule for park planning, development and management and state-issued approval

a. Final management plan:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation, including copies of "early action" grant files:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Some of the records these files may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦2.[726] **Application for heritage area (urban cultural park) designation** submitted to State Office of Parks, Recreation and Historic Preservation, including response and related correspondence:
**RETENTION:** **PERMANENT**

♦3.[727] **Visitor center records**

a. Proposals, plans and drawings, feasibility studies and real property records:
**RETENTION:** **PERMANENT**

b. Visitors registers and patron usage records:
**RETENTION:** 3 years

♦4.[728] **Walking and other tour files**

a. Maps, brochures, photographs and background research files:

**RETENTION:** 6 years after tour discontinued

**NOTE:** Appraise these records for historical significance prior to disposition. Some maps, brochures and photographs may have continuing value for architectural, historical or other research and should be retained permanently. Contact the State Archives for additional advice.

b. Notes, correspondence, memoranda, lists of participants and other routine records:
**RETENTION:** 1 year

♦5.[729] **Exhibit file** documenting planning, construction, and use of exhibit, including but not limited to installation photographs and slides, sketches, worksheets, publicity, brochures, exhibit catalogs, inventory lists, loan agreements and visitor surveys

a. Brochures, exhibit catalogs, installation photographs and slides, and inventory lists:
**RETENTION:** **PERMANENT**

b. All other records:
**RETENTION:** 6 years after exhibit closed

**NOTE:** Appraise these records for historical significance prior to disposition. Some of these records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦6.[730] **Special event file,** including but not limited to official copy of any program or promotional literature, or significant photographs of events, and background materials and supporting documentation:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Some of the records these files may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

# HUMAN RIGHTS/ECONOMIC OPPORTUNITY

♦1.[244] **Individual complaint or problem case file** of human rights, economic opportunity, equal employment, community relations or similar function, including individual case summary record

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of significant cases handled at the local level. Contact the State Archives for additional advice in this area.

a. For case handled at local level (includes cases referred to New York State Division of Human Rights but **returned** to local agency for adjudication):
**RETENTION:** 6 years after last entry

b. For case referred to New York State Division of Human Rights:
**RETENTION:** 2 years after last entry

**NOTE:** Agencies may wish to retain records covered by parts "a" and "b" of this item beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints. For records of affirmative action cases involving local government employees, see item no. 317c in the Personnel/Civil Service section, Personnel subsection.

2.[245] **Summary record for individual case and/or master summary record of all cases:**
**RETENTION: PERMANENT**

♦3.[731] **Periodic statistical or narrative activity or progress reports** on human rights or economic opportunity office activities:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Periodic reports containing summary information not found in annual reports may have continuing value for historical or other research and should be retained permanently.

# INSURANCE

**NOTE:** Proof of liability insurance coverage must be retained longer for solid waste management facilities. See item no. 192 in the Environmental Health section.

♦1.[246] **Insurance (including self-insurance) case records**, **except** workers' compensation case record, including but not limited to notice of claim, copies of filed court documents, accident reports, medical reports, motor vehicle reports, appraisal report, copy of check, correspondence, and other supporting documentation:
**RETENTION:** 6 years after claim closed, but not until any minor reaches age 21, whichever is later

**NOTE:** The local government may wish to retain the release longer for convenience of reference. Proof of liability insurance coverage must be retained longer to cover claims relating to exposure to asbestos and other toxic substances. Consult your counsel or attorney to ensure that insurance policies and other appropriate documentation are retained as long as needed.

♦2.[247] **Workers' compensation case records (including Volunteer Firefighters Benefit Law) case records**

a. If claim allowed:
**RETENTION:** 18 years after injury or illness, but not less than 8 years after last payment

b. If claim disallowed after trial, or case otherwise disposed of without an award after the parties have been given due notice:
**RETENTION:** 7 years after injury or illness

**NOTE:** The employee injury record must be retained for 18 years after date of accident or injury, as required by Section 110, Workers' Compensation Law, even for disallowed claims. See item no. 741 in the Personnel/Civil Service section.

♦3.[248] **Master summary record** (log or register), of all (including workers' compensation) claims:
**RETENTION:** 0 after all claims and/or cases listed in master summary record have been disposed of

♦4.[249] **Insurance policy** covering fire, theft, property damage, personal injury liability,

general liability, insurance of life or property, when **no outstanding claims are involved:**
**RETENTION:** 6 years after expiration, or until the report on examination is filed, whichever is later

5.[250] **Workers' compensation and employer's liability insurance policy**, when no outstanding claims are involved:
**RETENTION:** 18 years after expiration

6.[251] **Title insurance policy**, when **no** outstanding claims are involved:
**RETENTION:** 20 years after expiration

♦7.[252] **Certificate of insurance** certifying as to name of insured, type of insurance, limits of liability, date of expiration and policy number, when **no** outstanding claim is involved, **except** a certificate of insurance certifying as to a security bond or undertaking:
**RETENTION:** 6 years after expiration

**NOTE:** For the exceptions mentioned above, see item no. 326 in the Personnel/Civil Service section, item no. 596 in the Building and Property Regulation section, item no. 220 in the Fiscal section, item no. 192 in the Environmental Health section and item no. 415 in the Public Property and Equipment section.

8.[253] **Insurance appraisal and/or survey**:
**RETENTION:** 0 after superseded or obsolete

# LIBRARY/LIBRARY SYSTEM

1.[254] **Incorporation, chartering and registration records**:
**RETENTION:** **PERMANENT**

♦2.[255] **Accession records**:
**RETENTION:** 1 year after accessioning procedure becomes obsolete

**NOTE:** Some libraries accession manuscripts, rare books and special collections, but not their general library holdings. In these cases, the accession records need to be retained only for the kinds of materials still accessioned.

♦3.[256] **Informational copies of records prepared by and received from public library system**, including but not limited to directories, minutes, budgets and reports:
**RETENTION:** 0 after superseded or obsolete

4.[257] **Borrowing or loaning records**, including interlibrary loan:
**RETENTION:** 0 after no longer needed

♦5.[258] **Catalog of holdings**

a. Manuscript or published catalog:
**RETENTION:** **PERMANENT**

b. Continuously updated catalog:
**RETENTION:** 0 after superseded or obsolete

6.[259] **Individual title purchase requisition** which has been filled or found to be unfillable:
**RETENTION:** 1 year

♦7.[260] **Records documenting selection of books** and other library materials:
**RETENTION:** 0 after no longer needed

♦8.[261] **Library material censorship and complaint records**, including evaluations by staff, patrons' complaints and record of final decision:
**RETENTION:** 6 years after last entry

**NOTE:** Appraise these records for historical significance prior to disposition. Some library censorship records deal with serious constitutional issues and may have value for future research.

9.[262] **Patron's registration** for use of rare, valuable or restricted non-circulating materials:
**RETENTION:** 6 years

# LOCAL DEVELOPMENT CORPORATION

1.[263] **Business/industry loan case file**, including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence:
**RETENTION:** 6 years after denial of application or 10 years after final payment on loan

2.[264] **Master summary record** (log or register) documenting contacts and inquiries and resulting responses and actions taken by agency personnel:
**RETENTION: PERMANENT**

3.[265] **Business/industry Small Business Administration (S.B.A.) loan case file**, including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence with the S.B.A.:
**RETENTION:** 6 years after denial of application or 10 years after final payment on loan

4.[266] **Business consultation services case file**, where no loan is applied for from or through the local development corporation, but other services are provided:
**RETENTION:** 3 years after date of most recent entry in record

5.[267] **Business or other client inquiry and/or referral**, where no substantive services are performed by local development corporation:
**RETENTION:** 1 year

6.[268] **Small Business Administration (S.B.A.) certification records**, including certificate, application for certification and decertification records:
**RETENTION: PERMANENT**

7.[269] **Annual financial and narrative reports** submitted to the Small Business Administration (S.B.A.):
**RETENTION: PERMANENT**

8.[270] **Monthly or other periodic reports on loan status**:
**RETENTION:** 1 year after superseded or obsolete

9.[271] **Organizational and establishment records**, including certificate of incorporation, constitution and bylaws:
**RETENTION: PERMANENT**

10.[272] **Election records,** for election of board members and/or officers

a. Election results:
**RETENTION:** **PERMANENT**

b. Ballots, nominations, tabulations and other election records:
**RETENTION:** 1 year after election

11.[273] **Membership records**

a. Lists of members:
**RETENTION:** **PERMANENT**

b. Records of dues collection and receipt (if applicable):
**RETENTION:** 6 years

c. Other membership records, including applications for membership, lists of prospective members and membership notices:
**RETENTION:** 0 after superseded or obsolete

12.[274] **Federal and state tax exemption records**, including copy of application:
**RETENTION:** **PERMANENT**

13.[275] **Dissolution records**, including records of distribution of assets:
**RETENTION:** **PERMANENT**

♦14.[732] **Income tax filing and charitable reporting records** of local development corporation

a. Copies of federal income tax returns and related records:
**RETENTION:** 6 years

b. Registration as a charity filed with New York State Office of Attorney General:
**RETENTION:** 6 years after no longer in effect

c. Annual reports on the solicitation and collection of funds for charitable purposes, filed with New York State Office of Attorney General and Department of State:
**RETENTION:** 6 years

# MISCELLANEOUS

♦1.[276] **Ombudsman/referral service records** covering citizen complaint services, landlord/tenant advisory services, job placement consultation, handicapped person's assistance, and related services, including but not limited to log or master index, copies of complaints, intakes and referrals, and individual case file materials

a. Relating to **other than** routine services or activities:
**RETENTION:** 6 years after final disposition of matter

b. Relating to routine services or activities:
**RETENTION:** 1 year after final disposition of matter

♦2.[277] **Noise level monitoring records**, including but not limited to summary records, showing long-term trends and developments and original entry and intermediary records, including charts, graphs and statistics:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of summary records, showing long-term trends and developments, in cases where noise levels are a matter of public concern. Contact the State Archives for additional advice in this area.

3.[280] **Governmental establishment and reorganization records,** covering establishment, incorporation, annexation, consolidation, dissolution or charter revision, for political subdivision, including but not limited to petitions, special studies and surveys, correspondence with state agencies, records of voter action and reports:
**RETENTION:** **PERMANENT**

4.[281] **Census records** of all regular and special local, New York state and federal censuses:
**RETENTION:** **PERMANENT**

♦♦5.[906] **Annual financial disclosure statements**, filed by local political party official or candidate for local elected office, pursuant to Section 812.1 (a), General Municipal Law:
**RETENTION:** 7 years

♦6.[733] **Financial or political interest disclosure records,** filed by vendor or contractor

doing business with the local government:
**RETENTION:** 6 years

♦7.[282] **Minority- and women-owned business files,** covering minority- and women-owned businesses doing business with or in the jurisdiction of a local government

a. Summary record listing businesses, eligibility criteria and official government policy statement:
**RETENTION:** **PERMANENT**

b. Detailed application/questionnaire/response completed by business:
**RETENTION:** 5 years after date of most recent entry in record

**NOTE:** Appraise these records for historical significance prior to disposition. If the local government uses its own rather than statewide criteria for approving these businesses, then these records may document minority- and women-owned business operating in the community.

c. Directory of state-approved minority- and women-owned businesses, supplied by State Department of Economic Development:
**RETENTION:** 0 after superseded

d. Other records, including job quotes, bid lists, referrals, credit and character references and affidavits, **but not including** summary record, detailed application/questionnaire/response, eligibility criteria and official government policy statement, and state-supplied directory of businesses:
**RETENTION:** 6 years after contract expiration

♦8.[283] **Record of gifts and bequests to a local government**, including copy of will, copies of deeds, maps and surveys (if applicable) and records of establishment of and use of monies generated by trust fund or endowment

**NOTE:** This does not apply to donations of real property, which are covered by item no. 412 in the Public Property and Equipment section.

a. When trust fund or endowment is involved:
**RETENTION:** **PERMANENT**

b. For gift of work of art, historical or other artifact or historical manuscript:
**RETENTION:** **PERMANENT**

c. For gift or bequest not covered under parts "a" or "b", or by note above:

**RETENTION:** 6 years

♦9.[734] **Community service records,** showing time worked and type of tasks performed by person sentenced by court to community service:
**RETENTION:** 6 years, or 3 years after individual attains age 18, whichever is longer

♦♦10.[735] **Miscellaneous non-government records,** received by local government:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for historical significance prior to disposition. Records which document the history of the community and its citizens may have continuing value for historical or other research and should be retained permanently. These records may contain valuable information which supplements records created by the local government itself. Records not retained permanently may be offered to a local historical records repository. Contact the State Archives for additional advice.

**NOTE:** Upon the receipt of these non-public records by a local government, these records become "local government records." Published materials received by a local government are not considered to be public records.

♦11.[736] **Photographs or other visual media records**, created by a local government, which are not part of a record series listed elsewhere in this Schedule:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for historical significance prior to disposition. Some photographs and other visual media records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦12.[737] **Child abuse or maltreatment reports** and related records, reporting agency copy:
**RETENTION:** 3 years

**NOTE:** This item covers copies of child abuse and maltreatment reports and related records retained by agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. Reporting agencies may be in such areas as education, youth services and recreation. Reporting copies maintained by law enforcement agencies are covered by item no. 473 in the Public Safety section.

♦13.[738] **Lobbying activity records**, including but not limited to registration records,

individual reporter designation records, and periodic reports of lobbying activity filed with New York Temporary State Commission on Lobbying:
**RETENTION:** 3 years

◆14.[739] **Project review records**, covering projects requiring approval by the Adirondack Park Agency, Lake George Commission, or other government entity or agency, where local government receives records for comment or review, or for informational purposes

a. When permit or other approval must be granted by local government involved:
**RETENTION:** Retain as long as related building, land use, planning, zoning, or environmental permit or approval records covered elsewhere in this schedule.

b. When no permit or approval by local government is needed, and records are received for comment or informational purposes only:
**RETENTION:** 3 years after date of most recent entry

◆◆15.[907] **Child day care program records**

a. Participant records, including applications to attend day care program; children's immunization and health records, including parent's consents for emergency medical treatment; and related records:
**RETENTION:** 3 years after child attains age 18

b. Program records not covered by other items on this Schedule, including those required to be maintained by 18 NYCRR Sections 414.15, 418-1.15 and 418-2.15, including program registration records; video surveillance tapes; daily attendance records; staff health statements; Statewide Central Register clearance forms and related records; documentation of facility compliance with Uniform Fire Prevention and Building Code and other state requirements; description of program activities; and related records:
**RETENTION:** 6 years or 6 years after superseded or obsolete, whichever is longer

c. Applications from parent/guardian for enrollment of child in program, where child is not accepted or is not enrolled in program:
**RETENTION:** 3 years

# MUSEUM

♦1.[284] **Exhibit file** documenting planning, construction, and use of exhibit, including but not limited to installation photographs and slides, sketches, worksheets, publicity, brochures, exhibit catalogs, inventory lists, loan agreements and visitor surveys

a. Brochures, exhibit catalogs, installation photographs and slides, and inventory lists:
**RETENTION:** **PERMANENT**

b. All other records:
**RETENTION:** 6 years after exhibit closed

**NOTE:** Appraise these records for historical significance prior to disposition. Some of these records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦2.[285] **Collections records** documenting acquisition, accession, deaccession, loan, conservation, and use of materials, including but not limited to accession register, loan agreement, inventory of collection and conservation treatment record

a. Routine records, including but not limited to notes and internal memoranda:
**RETENTION:** 1 year

b. All other collections records:
**RETENTION:** **PERMANENT**

# OFF-TRACK BETTING CORPORATION

♦1.[286] **Daily activity folders**

a. Betting parlor daily folder, including but not limited to daily branch settlement sheet, selling-cashing settlement sheets, worksheets, telephone betting deposit and withdrawal slips, reports of track conditions and report of scratches:
**RETENTION:** 90 days after release of New York State Racing and Wagering Board's audit report, or 3 years, whichever is shorter

b. Corporation headquarters daily folder, including but not limited to daily branch settlement sheets from parlors, worksheets and summary of daily activity:
**RETENTION:** 90 days after release of State Comptroller's audit report, or 6 years, whichever is shorter

♦2.[287] **Paid or canceled bet tickets:**
**RETENTION:** 90 days after release of New York State Racing and Wagering Board's audit report, or 3 years, whichever is shorter

3.[288] **Reports submitted to New York State Racing and Wagering Board**

a. Annual report:
**RETENTION:** **PERMANENT**

b. Daily, weekly, monthly or other periodic report, including reports of any variance from normal operations:
**RETENTION:** 3 years

4.[289] **Reports and other records submitted to New York State Department of Taxation and Finance**

a. Tax returns or tax transmittal reports:
**RETENTION:** 6 years

b. Daily report on total handle and tax payable:
**RETENTION:** 3 years

c. Report and transmittal notice for unclaimed winning tickets:
**RETENTION:** 6 years

♦5.[290] **Wagering reports and statements,** created for internal administrative purposes

a. Reports and statements relating to telephone betting:
**RETENTION:** 90 days after release of State Comptroller's audit report, or 6 years, whichever is shorter

b. Reports and statements **not** relating to telephone betting, including but not limited to offline ticket report, "settle report," daily activity report and daily terminal activity report:
**RETENTION:** 90 days after release of New York State Racing and Wagering Board's audit report, or 3 years, whichever is shorter, **but not less than** 1 year after superseded or obsolete

♦6.[740] **Lottery ticket sales records,** covering sales of state lottery tickets by off-track betting corporations

a. Monthly, annual or other summary records of ticket sales:
**RETENTION:** 6 years

b. Daily and weekly cashed ticket validation records:
**RETENTION:** 2 years

c. Cashed winning tickets:
**RETENTION:** 0

**NOTE:** The Division of the Lottery requests that cashed winning tickets be destroyed immediately upon validation, so that they no longer could be considered negotiable.

♦♦7.[908] **Report of winnings submitted to Internal Revenue Service** (Form W-2G or equivalent):
**RETENTION:** 5 years

♦♦8.[909] **Video lottery gaming records,** including related Off-Track Betting Corporation (OTB) records which are created, received or maintained by an OTB in its capacity as a video lottery gaming agent

**NOTE:** The New York State Division of the Lottery, in Section 2836-2.3 of *21NYCRR,* prescribes minimum retention periods for certain records of video lottery gaming agents as well as procedures that an OTB must follow to receive authorization to destroy those records. **An OTB subject to Division of the Lottery**

**requirements for its video lottery operations must meet both the minimum retention periods indicated in Section 2836-2.3 as well as minimum retention periods established in *Schedule MI-1*.** Any records for which the Division of the Lottery approves destruction after periods shorter than those indicated in Section 2836-2.3 must continue to meet the minimum retention periods established by *Schedule MI-1*.

**NOTE: The Division of the Lottery requires that video lottery gaming agents proposing to destroy records specified in Section 2836-2.3 must notify the Division in writing at least 15 days prior to the scheduled destruction of any original record.** The Division may prohibit such destruction within 15 days of receiving that notice of destruction. However, Division regulations exempt certain records from this requirement for prior notification of planned records destruction. Consult the Division's regulations or contact the Division for specific information on its requirements.

**NOTE: *Schedule MI-1* authorizes the destruction of any original records which have been duplicated on microfilm or other media,** subject to requirements of Section 57.29 of Arts and Cultural Affairs Law and State Archives procedures. **The destruction of such original records maintained by an OTB pertinent to video lottery gaming operations also requires written notification to the Division of the Lottery** as indicated in the second Note, above, **and approval from the Division** of the microfilm or other media system used to copy and store the records.

**NOTE:** Some provisions of Section 2836-2.3 establish retention periods less than or equal to the periods required by items in *Schedule MI-1*. Other provisions require certain records to be retained "indefinitely" without a specified retention period. Destruction of both of these categories of records requires approval of the Division of the Lottery as indicated in the second and third Notes, above. Other provisions of Section 2836-2.3 authorize destruction of certain records after no required minimum retention period and without prior notification to the Division of the Lottery of the intended destruction. The Division of the Lottery is also able to approve requests to destroy additional types of records after no Division-required minimum retention period and without need for prior notification to the Division of intended records destruction. However, **in all of these circumstances, Schedule users must continue to meet retention requirements established by *Schedule MI-1*.** Schedule users should consult this Schedule for the required minimum retention periods for specific records.

**NOTE: The following parts indicate those records which are not otherwise covered by *Schedule MI-1* items or for which Section 2836-2.3 requires**

**lengthier retention periods than are required by *Schedule MI-1* items.** Because some of the following parts cover broad categories of records, Schedule users should refer to the General, Fiscal and other sections of this Schedule to determine if specific records within those broad categories have retention periods greater than that indicated for the part. Records with longer retention periods should be retained for additional periods as specified by the applicable Schedule items. In the event that the Division of the Lottery approves a request from an OTB to reduce any of the following retention requirements, the OTB must continue to meet any minimum retention requirements for those records as specified by other items in this Schedule.

a. Video lottery gaming-related records not specified in part "b," including records concerning gaming-related vendors; and any other original record not otherwise listed in Section 2836-2.3 or approved for destruction pursuant to its procedures:
**RETENTION:** 5 years

b. Cage documents, documentation supporting the calculation of video lottery terminal win, and records related to tax reporting and withholding:
**RETENTION:** 4 years after the date of the actual filing of the gross revenue tax return for the tax year in which the record was generated

c. Payroll records, marketing department records, credit union records, copies of arrest reports, and patron gaming records:
**RETENTION:** 3 years

**NOTE:** Schedule users should note that the Fiscal section, Payroll subsection of this Schedule covers numerous types of payroll records, including many records with retention requirements greater than 3 years as well as other records with retention requirements less than 3 years. Any payroll records with retention requirements greater than 3 years should be retained for those longer periods.

d. Mailroom records, advertising records, video gaming department daily activity logs, and any other records, other than those listed in Section 2836-2.3(c)(4), which contain information duplicative or less than that recorded on other documents listed in Section 2836-2.3(c)(1) through (c)(4):
**RETENTION:** 1 year

# PERSONNEL/CIVIL SERVICE

## PERSONNEL

♦1.[310] **Personnel records of local government employees** (includes volunteers and interns)

a. Master summary record from personnel case file, including but not limited to age, dates of employment, job titles and civil service status:
**RETENTION:** **PERMANENT**

b. Personnel case file materials, except summary information record, and including but not limited to application for employment, resume, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, and correspondence:
**RETENTION:** 6 years after termination of employment

**NOTE:** Reports of personnel changes may be included in personnel case files, in which case they are subject to the indicated minimum retention period. Other copies of these reports are maintained by other offices and are covered by item no. 332, below.

♦2.[311] **Investigative records and disciplinary proceedings**, including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or resignation, letter of reinstatement, record of appeal procedure, and correspondence:
**RETENTION:** 3 years after final decision rendered

**NOTE:** Records covered by this item may be destroyed before this retention period has been reached, if specified either in a union contract or settlement between the employer and employee.

**NOTE:** Affirmative action and related complaints may be covered by item no. 317c, below.

3.[312] **Employee's time records** covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay:
**RETENTION:** 6 years

♦4.[313] **Annual or other financial disclosure statements**, filed by local government

employees or officials, pursuant to Section 812.1 (a), General Municipal Law, or local law:
**RETENTION:** 7 years

♦♦5.[314] **Employee training history records** documenting employee continuing education, training and development, including employee identification, training received, dates of training, and related records:
**RETENTION:** 6 years after termination of employment

**NOTE:** Additional records providing detailed information on training history can be destroyed when no longer needed, provided that summary records are retained for the indicated retention period. For retention requirements for specific types of employee training history records, see specific items in this Schedule.

♦6.[315] **Administrative organization chart and related records** showing administrative and supervisory organization:
**RETENTION:** 0 after superseded or obsolete

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Contact the State Archives for additional advice.

♦7.[316] **Identification card records,** when card is issued to local public employee:
**RETENTION:** 6 months after becoming invalid

♦8.[317] **Equal employment opportunity report and related records**

a. Annual, long-term or special (narrative or statistical) reports, goals and achievements:
**RETENTION:** **PERMANENT**

b. Periodic reports, statistics and other records used in compiling annual, long-term or special (narrative or statistical) reports, goals and achievements:
**RETENTION:** 1 year

c. Affirmative action and related complaint investigation records:
**RETENTION:** 3 years after date of final determination

**NOTE:** Agencies may wish to retain records covered by part "c" of this item beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints.

♦9.[318] **Health and life insurance records**

a. For employee with **or** without dependent survivor:
**RETENTION:** 3 years after termination of employee's or dependent survivor's coverage, whichever is later

b. Claim for benefits (copy, where original is submitted directly by employee):
**RETENTION:** 1 year

c. Health and life insurance coverage reports:
**RETENTION:** 6 years

d. Declination statement filed by employee:
**RETENTION:** 6 years after separation from service

10.[319] **Unemployment insurance records**

a. Claim filed by employee, when claim is approved:
**RETENTION:** 6 years after final payment

b. Claim filed by employee, when claim is disqualified:
**RETENTION:** 3 years after filing

c. Claim payment reports:
**RETENTION:** 6 years

♦11.[320] **Labor-management meeting records**, including minutes of meeting, agenda, reports, and correspondence

a. Minutes and reports:
**RETENTION:** **PERMANENT**

b. Meeting agenda, correspondence, and other records:
**RETENTION:** 6 years

♦12.[321] **Public employee contract negotiations records**, including but not limited to proposals, summary of proceedings, copies of salary schedules and contracts, P.E.R.B. fact-finding report, and correspondence

a. All documentation in record, **except** routine correspondence, routine memoranda and drafts:
**RETENTION:** **PERMANENT**

b. Routine correspondence, routine memoranda and drafts:

**RETENTION:** 1 year

♦13.[322] **Job action records** documenting strikes, work stoppages, informational picketing and other job actions conducted by local government employees, including but not limited to correspondence and memoranda, press clippings, copies of notices of violation, detailed and summary records of employees' participation, and penalties levied upon participants

a. All documentation in record, **except** detailed listings of all employees present at various events and other records lacking substantive informational value:
**RETENTION:** **PERMANENT**

b. Detailed listings of all employees present at various events, and other records lacking substantive informational value:
**RETENTION:** 6 years

♦14.[323] **Public employee grievance records**, including but not limited to grievance, investigative records, hearing proceedings, decision rendered by employer, employee appeal, records of arbitration procedure, final decision, and correspondence:
**RETENTION:** 3 years after grievance is resolved

♦15.[324] **On-site safety inspection records**, including individual inspections and summary of findings:
**RETENTION:** 3 years after last entry

♦16.[325] **Toxic substance exposure records**

a. Records of exposure or possible exposure of an employee to a toxic substance or other harmful physical agent, including background data to environmental monitoring or measuring, biological monitoring records which are designated as exposure records, material safety data sheets or chemical inventory records indicating use and identity of a toxic substance or harmful physical agent, and related records:
**RETENTION:** 30 years

**NOTE:** Environmental monitoring background data may be destroyed after 1 year provided that sampling results, methodology, a description of the analytical method used, and a summary of other background data relevant to the interpretation of results are retained for at least 30 years, as provided in *29CFR* 1910.1020 (d-1) (ii-A).

b. Lists, or material safety data sheets, of toxic substances present in the workplace and of employees who handle those substances:
**RETENTION:** 40 years after superseded or obsolete

c. Material safety data sheet or fact sheet, providing detailed information on specific toxic or other substance at workplace, when **not** used for parts "a" or "b", above, as the list of toxic substances (as defined in *29CFR* 1910, Subpart Z) in the workplace **or** for substances **not** defined in *29CFR* 1910, Subpart Z as being toxic:
**RETENTION:** 3 years after substance no longer present at workplace

**NOTE:** If material safety data sheets or fact sheets are used for parts "a" or "b", above, as the list of toxic substances (as defined in *29CFR* 1910, Subpart Z) in the workplace, then those sheets should be maintained for the time periods indicated by parts "a" or "b".

d. Training records covering training of individual employee in handling toxic substances:
**RETENTION:** 3 years after separation from service

e. Summary records of toxic substance training, including but not limited to minutes of meetings and training sessions and summary descriptions of training given employees:
**RETENTION:** 3 years after separation from service of all employees involved

**NOTE:** This retention may be difficult to calculate in instances where a number of employees have attended the same training. Local officials may wish to retain these summary training records for 60 years or another period sufficient to ensure that all concerned employees have separated from service.

f. Policy statements and procedures issued by local government relative to dealing with toxic substances:
**RETENTION:** **PERMANENT**

17.[326] **Personal surety bond** or undertaking of public official:
**RETENTION:** 20 years after coverage expires

18.[327] **Listing or roster of local government officials or employees**, including names,

addresses, titles and other pertinent information:
**RETENTION:** **PERMANENT**

19.[328] **Oath of office or record of official signature** of public employee

a. Official copy:
**RETENTION:** **PERMANENT**

b. Oath of any election official:
**RETENTION:** 1 year after election

♦20.[329] **Log and summary of occupational injuries and illnesses**, created pursuant to *12NYCRR*, 801.7 and *29CFR*, 1904.6:
**RETENTION:** 5 years

**NOTE:** If these records are intended to also satisfy the legal requirements of Section 110, Workers' Compensation Law, and no separate records covered by item no. 741, below, are created, then these records must be retained for 18 years after date of injury or illness.

♦21.[741] **Employee injury record**, covering work-related accident or occupational disease, created pursuant to Section 110, Workers' Compensation Law:
**RETENTION:** 18 years after date of injury or illness

♦♦22.[330] **Employee medical records concerning exposure to toxic substances or harmful physical agents**

**NOTE:** This item does not include health insurance records, which are covered by item no. 318, above, or non-medical toxic substance exposure records, which are covered by item no. 325, above.

a. First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, as defined in *29CFR* 1910.1020 (d-1) (i-B), if made onsite by a non-physician and maintained separately from the employee medical records:
**RETENTION:** 3 years after completion of treatment and subsequent observation

b. Medical records, **other than** those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical

complaints, and related records, for employee who worked **one year or longer**:
**RETENTION:** 30 years after termination of employment

c. Medical records, **other than** those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked **less than one year**, provided copies were given to the employee upon termination of employment, pursuant to *29CFR* 1910.1020 (d-1) (i-C):
**RETENTION:** 3 years after termination of employment

**NOTE:** If copies are **not** given to the employee upon termination of employment, the retention specified in part "b," above, must be followed.

♦♦23.[910] **Employee medical records not related to exposure to toxic substances or harmful physical agents:**
**RETENTION:** 3 years after termination of employment

24.[278] **Notification of vacancy in office**, or filling of vacant position:
**RETENTION:** 0 after position filled or abolished

♦25.[742] **Drivers' license review records for local government officials, employees or volunteers**

a. When **no** action is taken as result of review:
**RETENTION:** 0

b. When action is taken as result of review:
**RETENTION:** 3 years

♦26.[743] **Employee attestation of knowledge of code of ethics, staff policy manual or other official policies or procedures:**
**RETENTION:** 3 years after attestation superseded or upon termination of employment

♦27.[744] **Records documenting the specimen collection and testing process,** for commercial motor vehicle driver alcohol and drug testing

a. Official copy of all policies and procedures, including documentation of the random selection process:

**RETENTION:** **PERMANENT**

b. Quality control records, including calibration records for testing equipment, assuring that testing equipment is operating correctly:
**RETENTION:** 5 years

c. Annual statistical and other reports:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

d. Other records, including periodic reports and statistics and collection logbooks:
**RETENTION:** 2 years

♦♦28.[745] **Drivers' test results and related records**

**NOTE:** Local governments may want to maintain these records concerning employees for an additional period or include them in the employee's personnel files, especially when they affect an employee's job status.

a. Verified positive controlled substance test results or alcohol test results indicating a breath or blood alcohol concentration equal to or greater than 0.02, documentation that **individual employee's or job applicant's** test was conducted and specimen handled properly, records of dispute of test results by driver, justification for conducting other than random test, records of compliance with Substance Abuse Professional's (SAP's) recommendations, correspondence and related records:
**RETENTION:** 5 years

b. Negative or canceled controlled substance test result or alcohol test result indicating a breath or blood alcohol concentration less than 0.02:
**RETENTION:** 1 year

c. Records relating to an **individual employee's or job applicant's** refusal to take alcohol or substance abuse test:
**RETENTION:** 5 years

♦29.[746] **Documentation of other violations of alcohol or substance abuse rules,** including results of alcohol or substance abuse tests administered by law enforcement personnel, copies of police reports and medical records:

**RETENTION:** 6 years after termination of employment

♦30.[747] **Staff training and evaluation records** for commercial motor vehicle driver alcohol and drug testing

a. Official copy of course syllabus or any local government produced training or advisory publication or videotape:
**RETENTION:** 6 years after superseded

b. Other training records including lists of attendees, copies of instructors' course or class notes, documentation of instructors' training and proof that employees have received required reading materials:
**RETENTION:** 6 years

♦♦31.[911] **Employment Eligibility Verification Form I-9**, completed by employee and employer for all employees hired after November 6, 1986, verifying that the individual is eligible to work in the United States, including verification documents attached to the form:
**RETENTION:** 3 years from date of hire or 1 year after employment is terminated, whichever is later

♦♦32.[912] **Employee assistance program records**

a. Reports and statistical compilations:
**RETENTION:** 6 years after date of most recent entry

b. Program (including course and seminar) and literature files:
**RETENTION:** 1 year after program no longer offered or literature superseded or otherwise obsolete

c. Employee consultation records:
**RETENTION:** 3 years after date of most recent entry in record

# CIVIL SERVICE

♦1.[748] **Copy of payroll, or payroll report,** submitted to civil service office for certification or approval:
**RETENTION:** 0 after superseded

**NOTE:** Official copy of payroll must be retained for 55 years. See item no. 291 in the Fiscal section.

♦2.[749] **Official civil service employee roster card:**
**RETENTION:** **PERMANENT**

♦3.[331] **Established position record** showing a history of each position and names and other pertinent information about persons who occupied it

a. If record contains detailed information about the position and persons who occupied it:
**RETENTION:** **PERMANENT**

b. If record only provides lists of names of employees:
**RETENTION:** 1 year after final entry in record

**NOTE:** The official listing or roster of all local government officials or employees, covered by item no. 327, must be retained permanently.

♦4.[332] **Report of personnel change,** (including employee transfer record), **except** copy retained in employee's personnel records

a. Copy held by office with official civil service function:
**RETENTION:** 0 after termination of employment, but not less than 6 years

b. Copy retained by fiscal office, where official civil service copy is maintained by **other** local government having the official civil service function:
**RETENTION:** 6 years

c. Employee transfer record:
**RETENTION:** 0 after termination of employment, but not less than 6 years

**NOTE:** Reports of personnel changes may also be found in employee personnel records. When filed in an employee personnel record, such copies are subject to lengthier retention requirements. See item no. 310, above.

♦5.[333] **Job classification records,** including job classification questionnaire, analysis of job duties and request for reclassification:
**RETENTION:** 1 year after subsequent classification action completed, but not less than 10 years

**NOTE:** Appraise these records for historical significance prior to disposition. Local

governments with official civil service functions should consider permanent retention of these records. Contact the State Archives for additional advice.

♦6.[334] **Official copy of job posting and position duties statement**

a. When duties of position are described in detail:
**RETENTION:** **PERMANENT**

b. When duties of position are **not** described in detail:
**RETENTION:** 6 years

♦7.[335] **Personnel requisition** made to civil service or personnel office, requesting that vacancy be filled:
**RETENTION:** 0 after obsolete

♦8.[336] **Civil service eligible list records**

a. Official eligible list and certification of eligible list:
**RETENTION:** 20 years after expiration of eligible list

b. Certification of eligible list sent to and retained by appointing authority:
**RETENTION:** 3 years after expiration of eligible list

c. Request for certification of eligible list:
**RETENTION:** 1 year after expiration of eligible list, but not less than 3 years

d. Individual's request for reinstatement to eligible list and reply:
**RETENTION:** 1 year after expiration of eligible list, but not less than 3 years

e. Eligible list canvass records, including but not limited to precanvass questionnaire and letter of canvass and reply:
**RETENTION:** 6 months after expiration of eligible list, but not less than 3 years

f. Military record of applicant, when applicant was **not** hired:
**RETENTION:** 3 years after expiration of eligible list

♦9.[337] **Application for employment**, including resume, when applicant **not** hired:
**RETENTION:** 3 years

**NOTE:** When the applicant is hired, the application is retained in or as long as the personnel file. See item no. 310 in the Personnel subsection, above.

♦ 10.[750] **Recruitment, hiring, interview and selection records,** including but not limited to correspondence, reports, selection criteria, interview notes, background check records, rating and ranking forms, evaluations and other records pertaining to the hiring, promotion, demotion, transfer, layoff and termination of employees:
**RETENTION:** 3 years after completion of personnel action

**NOTE:** This item does not cover personnel records of individual employees. See item no. 310 in the Personnel subsection, above.

♦ 11.[751] **Application for examination**

a. When eligible list is established:
**RETENTION:** 3 years after expiration of eligible list

b. When **no** eligible list is established:
**RETENTION:** 3 years after examination date

c. Supplemental documentation filed in conjunction with application, including but not limited to student loan statement, credentials and copies of transcripts:
**RETENTION:** 1 year

♦ ♦ 12.[339] **Civil service examination records and appointment review records**

a. Civil service examination and announcement (official copy held by office with official civil service function):
**RETENTION:** **PERMANENT**

b. Civil service examination and announcement (**other than** official copy held by office with official civil service function):
**RETENTION:** 0 after no longer needed

c. Candidate identification or admission card:
**RETENTION:** 3 years after date of examination

d. Examination preparation, administration, and rating records:
**RETENTION:** 5 years after date of examination

e. Veteran credit records:

**RETENTION:** 50 years

f. Qualifying medical, physical fitness or agility examination report, when person is hired, and worked **one year or longer**:
**RETENTION:** 30 years after termination of employment

g. Qualifying medical, physical fitness or agility examination report, when person is hired, and worked **less than one year**, provided copies were given to the employee upon termination of employment, pursuant to *29 CFR* 1910.1020 (d-1) (i-C):
**RETENTION:** 3 years after termination of employment

h. Qualifying medical, physical fitness or agility examination report, when person is **not** hired:
**RETENTION:** 3 years after date of examination

i. Summary listing of examination results:
**RETENTION:** 1 year after date of examination

j. Notification of examination results mailed to candidate:
**RETENTION:** 3 years

k. Examination review records including but not limited to employee request, correspondence, and objection:
**RETENTION:** 3 years after expiration of eligible list

l. Appointment review records, documenting review of applicant qualifications for non-competitive, temporary or other positions not requiring examinations:
**RETENTION:** 5 years

13.[338] **Seniority list** ranking employees by length of service:
**RETENTION:** 3 years after superseded or obsolete

♦14.[752] **Disclosures related to student loan status**, received as part of civil service examination application, transmitted to New York State Higher Education Services Corporation, along with transmittal documents:
**RETENTION:** 1 year

♦15.[753] **Local government requests to State Civil Service Commission** for approval of changes in policies or jurisdictional classifications:
**RETENTION:** 3 years after date of last entry in record

# PORT FACILITY

♦1.[346] **Maps, plans, specifications, drawings and photographs** of port facility:
**RETENTION:** 6 years after facility no longer in use

**NOTE:** Appraise these records for historical significance prior to disposition. Some of these records will have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

2.[347] **Master plan**, and all supporting documentation for port facility:
**RETENTION:** **PERMANENT**

♦3.[348] **Tenant legal and reference files**

a. Contract negotiations, contracts, leases and significant correspondence:
**RETENTION:** 6 years after expiration, revocation or renewal

**NOTE:** Appraise these records for historical significance prior to disposition. These records may document the important roles these facilities play in the economic development of the community. In such cases, these records may have continuing value for historical or other research meriting their permanent retention. Contact the State Archives for additional advice.

b. Correspondence, including but not limited to complaints about tenants:
**RETENTION:** 6 years

c. Informational materials, including but not limited to lists of tenant's employees, copies of schedules, brochures and advertising materials:
**RETENTION:** 0 after obsolete

# PUBLIC ACCESS TO RECORDS

♦1.[349] **Subject matter list** of records held by local government**,** required under Freedom of Information Law:
**RETENTION:** 6 months after superseded

♦2.[350] **Listing of officers or employees** of local government required by Freedom of Information Law:
**RETENTION:** 6 months after superseded

♦3.[351] **Register or list** of applicants seeking access to public records:
**RETENTION:** 6 months

♦4.[352] **Freedom of Information records request file**

a. Request for access to public records, when request is granted:
**RETENTION:** 6 months

b. Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision:
**RETENTION:** 6 months after final determination

c. Certificate that record does not exist or cannot be found:
**RETENTION:** 6 months

# PUBLIC EMPLOYMENT AND TRAINING

♦1.[353] **Employment and training program file** for Job Training Partnership Act, Comprehensive Employment and Training Act (C.E.T.A.), Manpower Development and Training Act, youth employment training, Work Force Investment Act, and other job training programs

a. Project application, proposal, narrative, evaluation, and annual report:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

b. Background material and supporting documentation:
**RETENTION:** 6 years

2.[354] **Employment and training program individual participant file**, including but not limited to application, work schedule, evaluations, and notice of transition to non-grant employment:
**RETENTION:** 6 years after last entry

3.[355] **Denied employment and training enrollment application**:
**RETENTION:** 3 years

# PUBLIC HEALTH

## GENERAL

♦1.[356] **Certification, licensing, and accreditation records** covering review and approval by state or federal agency or professional review organization, to operate facility or program, to conduct tests, or to perform specified work, including lists of permissible procedures or tests:
**RETENTION:** 7 years after superseded, revoked, or no longer valid

2.[357] **Survey, evaluation, and inspection records** covering review of facilities and programs by state or federal agency or professional review organization, including but not limited to medical care evaluation and similar studies:
**RETENTION:** **PERMANENT**

♦3.[359] **Appointment records**, including slips, return cards, sign-in sheets, and clinic schedules kept by facility or public health program:
**RETENTION:** 0 after obsolete

**NOTE:** Appointment records for certain patients may have legal value to supplement patient medical records in documenting services provided to these patients.

4.[360] **Screening and assessment records** and referrals, for persons evaluated but **not** treated by facility or program:
**RETENTION:** 3 years

♦5.[754] **Advice and referral records,** covering medical, mental health or other information provided to individuals in person or over the telephone, including but not limited to telephone logs and individual call records

a. When person involved is or becomes a patient:
**RETENTION:** Retain as long as patient case record.

b. When person involved is not or does not become a patient:
**RETENTION:** 6 months

## FISCAL

**NOTE:** Other fiscal records are covered by items on this Schedule found in the Fiscal section.

1.[361] **Annual expenditure report or budget** submitted to state or federal agency or professional review organization:
**RETENTION:** **PERMANENT**

2.[362] **Patient's individual financial case record and account**

a. Individual case record, account card, or ledger card:
**RETENTION:** 7 years after account closed, but not less than 9 years

b. Individual charge records, posted to case record or card:
**RETENTION:** 7 years

3.[363] **Medicare, Medicaid or insurance carrier claim records**, including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received:
**RETENTION:** 7 years

4.[364] **Insurance and reimbursement related reports**, including Medicare/Medicaid cost report and certified uniform financial or statistical report, and all necessary supporting documentation:
**RETENTION:** 9 years

♦5.[365] **Patient personal property records,** including log or register of personal property of patients and receipts and related property records of original entry:
**RETENTION:** 6 years after death or discharge of patient

# FACILITY AND PATIENT SERVICES

1.[366] **Establishment, major alteration, or change of occupancy or use records**

a. Records of review and approval of plans, schedule of costs, feasibility studies, plans, specifications and drawings, final report, and significant correspondence:
**RETENTION:** **PERMANENT**

b. Memoranda, routine correspondence, and supplemental fiscal documentation:
**RETENTION:** 6 years after last entry

2.[367] **Facility committee records**

a. Minutes of medical staff committees, including but not limited to utilization review committee, joint conference committee or patient care conference:
**RETENTION:** **PERMANENT**

b. Records of medical staff committees, **excluding minutes**, including but not limited to agenda, worksheets and notes:
**RETENTION:** 6 years

c. Minutes and all other records of facility committee **other than** medical staff committees, such as dietary services committee or activities committee:
**RETENTION:** 6 years

3.[368] **Dietary services records**

a. Food service records, including meal counts, roster of patients' diet orders, and dietary services studies:
**RETENTION:** 3 years

b. Menus:
**RETENTION:** 1 year

4.[369] **Patient activities records**, including information on courses and activities offered to patients:
**RETENTION:** 2 years

5.[370] **Medical information index**, including but not limited to physician's index, disease index and operative index:
**RETENTION:** **PERMANENT**

♦6.[371] **Census record of patients**:
**RETENTION:** 6 years

7.[372] **Nursing services report**, including substation, shift and ward report:
**RETENTION:** 1 year

8.[373] **Hospital stay data collection records** covering data collection and review by Statewide Planning and Research Cooperative System (S.P.A.R.C.S.) and Data

Protection Review Board (D.P.R.B.)

a. Request for data or review of data:
**RETENTION:** 2 years

b. Results of data processing:
**RETENTION:** 0 after data verified

c. Data received from S.P.A.R.C.S.:
**RETENTION:** 0 after no longer needed for administrative purposes

♦9.[374] **Quality assurance records**

a. Quality assurance plan, including staff privileges review procedures:
**RETENTION:** **PERMANENT**

b. Relating to quality of care provided by individual hospital staff members:
**RETENTION:** 10 years after termination of employment

c. Relating to quality of care provided individual patient, when **not** duplicated in medical case record:
**RETENTION:** Retain as long as medical case record.

d. Relating to more than one patient:
**RETENTION:** Retain as long as all relevant medical case records are retained.

10.[375] **Health facility infection control and monitoring records**:
**RETENTION:** 10 years

♦11.[755] **Medical waste disposal records**, relating to generation, transportation and disposal of regulated medical waste

a. Medical waste tracking records, including exception reports:
**RETENTION:** 3 years after waste accepted for transport

b. Records created by generators who destroy regulated medical waste on site:
**RETENTION:** 3 years after date waste destroyed

c. Annual reports prepared by waste generator or transporter:
**RETENTION:** 3 years

# PATIENT CASE RECORDS AND RELATED MATERIALS

1.[358] **Master summary record**, master index file, or principal register giving basic data on individual patients:
**RETENTION:** **PERMANENT**

♦2.[756] **Patient data file,** providing summary and/or detailed information on patient:
**RETENTION:** Maintain as long as patient medical or other case record.

**NOTE:** Health agencies and facilities should **consider** permanent or long-term retention of the basic data elements of these systems for both administrative convenience and for potential research purposes. This data may provide for ease of access to other electronic and paper-based files and may create a record which replaces or supplements the master summary record (see item no. 358, above). Contact the State Archives for additional advice.

3.[376] **Patient's leave records**, including leave book or slip, patient's request, physician's consent and record of leave taken:
**RETENTION:** 6 years

4.[377] **Utilization review records** for individual patient, **excluding** those contained in medical case record:
**RETENTION:** 6 years

5.[378] **Pre-admission screening records** for long-term care health facility

a. When person is **not** admitted:
**RETENTION:** 0 after obsolete

b. When person is admitted, and information is not duplicated in medical case record:
**RETENTION:** Retain as long as medical case record.

♦6.[379] **Medical case record of hospital patient**, (in-patient and out-patient), **excluding** film, tracing, or other record of original entry when information contained is posted to or summarized in case record:
**RETENTION:** 6 years after death or discharge of patient, but not until 3 years after individual attains age 18

**NOTE:** Appraise these records for historical significance. These records may

have continuing value for historical or other research, and the State Archives suggests hospitals consider permanent retention, or if not permanent, for at least 10 years after death or discharge of patient, based on American Medical Records Association guidelines. In addition, records of adoptive children may need to be retained longer for legal and medical reasons. Also, medical records of mothers may, in certain cases, need to be retained longer if needed relative to their children's health. The State Archives recommends that these factors be considered in disposing of medical case records, and that these records be evaluated for disposition on a case-by-case basis.

7.[380] **Medical case record of long-term care health facility patient**:
**RETENTION:** 6 years after death or discharge of patient, but not until 3 years after individual attains age 18

8.[381] **Medical case record of out-patient**, including but not limited to diagnostic or treatment center patient; child health, maternity, family planning, lead poisoning, medical rehabilitation, dental health, Indian reservation health, nutrition or tuberculosis clinic patient; health related social services and home health agency patient, **but excluding** early intervention program:
**RETENTION:** 6 years after discharge or last contact, but not until 3 years after youngest patient attains age 18

♦9.[382] **Original entry patient care records** which exist separately from case record, including nurses' notes, operating room record, therapy record, nursery and obstetrics record, emergency room treatment record, triage records, and temperature charts

a. When significant information is posted to medical case record:
**RETENTION:** 6 years

b. When significant information is **not** posted to medical case record:
**RETENTION:** Retain as long as medical case record.

♦10.[383] **Film or tracing**, including X-ray, EKG tracing, EEG tracing, sonogram, echo cardiogram and holter monitor printout, when report of film or tracing is retained as long as medical case record:
**RETENTION:** 6 years

**NOTE:** Holter monitor tapes need only be retained for one month after printouts ("disclosures") are produced from them.

**NOTE:** Older X-rays on nitrate-base films, which have deteriorated to the point

where they are no longer usable, should **not** be retained. Retention of older nitrate-base X-rays may pose a serious fire hazard.

**NOTE:** Certain mammograms (covered by this item or by item no. 360, above) must be retained for 10 years pursuant to requirements found in *21 CFR*, Section 900.12 (c-4-i). Consult your attorney or counsel to determine what action is necessary to meet this requirement.

11.[384] **Patient care conference records**, including worksheets and evaluations, **but** excluding minutes

a. When significant information is posted to medical case record:
**RETENTION:** 0 after posting

b. When significant information is **not** posted to medical case record:
**RETENTION:** Retain as long as medical case record.

♦12.[385] **Communicable disease individual case records**

a. Communicable disease case report or equivalent record, including copy of laboratory report:
**RETENTION:** 6 years after discharge or last contact, or 3 years after individual attains age 18, whichever is longer

b. Supplementary reports on communicable diseases:
**RETENTION:** 2 years

c. Typhoid carrier records:
**RETENTION:** 2 years after death or release of carrier

d. Syphilis treatment case record:
**RETENTION:** 40 years

e. Sexually transmitted disease case record, **except** syphilis:
**RETENTION:** 6 years, or 3 years after individual attains age 18, whichever is longer

♦13.[757] **Mental health incident report**:
**RETENTION:** 20 years

♦14.[386] **Mental health individual case record**

a. Clinical discharge summary:
**RETENTION:** 25 years

b. Psychiatric test answer sheets:
**RETENTION:** 6 years

c. Case record materials, **except** clinical discharge summary and psychiatric test answer sheets:
**RETENTION:** 10 years after discharge or last contact with patient, or 3 years after individual attains age 18, whichever is longer

**NOTE:** Appraise these records for historical significance. Records covered by item nos. 386 and 387 may have continuing value for historical or other research. Contact the State Archives for additional advice in this area.

♦15.[387] **Alcohol or substance abuse individual case record** including clinical discharge summary:
**RETENTION:** 6 years after date of discharge or last contact, **or** 3 years after individual attains age 18, **or** for the period required by contractual arrangements, whichever is longest

♦16.[758] **Reports, studies or data queries,** including those generated from patient data system (including documentation of macros, queries, and reports)

a. Reports, studies or queries relating to individual patient:
**RETENTION:** Retain as long as or as part of medical or other patient case record.

b. Reports, studies or queries **not** relating to individual patient:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise records covered by part "b" for archival value. Reports and studies analyzing specific medical conditions and their treatments may be valuable for long-term planning and for medical, historical and other research. Contact the State Archives for additional advice.

# LABORATORY

♦1.[388] **Master summary record**, including accession sheet or register

a. Register of laboratory tests performed:
**RETENTION:** 7 years

**NOTE:** Appraise these records for archival value. These records may contain detailed information on the subject, nature and results of laboratory tests and may have long-term or permanent scientific or historical research value. Contact the State Archives for additional advice.

b. Record of collection of specimens:
**RETENTION:** 7 years

♦2.[759] **Laboratory test data file,** providing summary and/or detailed information on laboratory tests performed

a. For clinical laboratory tests:
**RETENTION:** Maintain as long as related laboratory tests results.

b. For forensic or toxicology tests:
**RETENTION:** 6 years

c. For environmental health tests:
**RETENTION:** Maintain as long as related laboratory tests results.

**NOTE:** Laboratories should **consider** permanent or long-term retention of the basic data elements of these systems for both administrative convenience and for potential research purposes. This data may provide for ease of access to other electronic and paper-based files (such as accession records and laboratory test results) and may create a record which replaces or supplements the master summary record (see item no. 388, above). Contact the State Archives for additional advice.

♦3.[389] **Request for laboratory test**:
**RETENTION:** Retain as long as the related test results or 7 years, whichever is shorter.

♦4.[760] **Referral information for cytogenetic cases**:
**RETENTION**: 6 years

♦5.[390] **Laboratory worksheet, workslip, history slip, or similar record**

a. For environmental health, or toxicology or forensic test:
**RETENTION:** Retain as long as related test results.

b. For clinical laboratory tests:
**RETENTION:** 1 year

♦6.[391] **Preventive maintenance, service, or repair record** for laboratory equipment or instrument:
**RETENTION:** Retain as long as the equipment or instrument remains in use, and also as long as test results using this equipment are retained.

**NOTE:** If equipment is used to produce laboratory tests which have differing minimum legal retention periods, then these preventive maintenance records must be retained as long as the longest period of time these laboratory test results need to be retained.

♦7.[392] **Quality control records** covering laboratory equipment and procedures:
**RETENTION:** Retain as long as test results using this equipment are retained, but not less than 2 years.

**NOTE:** If equipment is used to produce laboratory tests which have differing minimum legal retention periods, then these quality control records must be retained as long as the longest period of time these laboratory test results need to be retained.

8.[393] **Laboratory protocol** detailing procedures for conducting tests, disposing of specimens, samples and supplies, or other activity, including superseded or obsolete procedures:
**RETENTION:** **PERMANENT**

♦9.[394] **Laboratory reports, studies or data queries,** including those generated from automated data system

a. Forensic and other related investigation reports:
**RETENTION:** 6 years

b. All other reports, studies or queries:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for archival value. Reports and studies analyzing specific types of tests, test results and the population being tested may be valuable for long-term planning and for medical, historical and other research. Because these records will vary greatly as to content, subject and detail, they should be appraised for archival value. Contact the

State Archives for additional advice.

♦10.[395] **Laboratory specimens and slides**

a. Blood film, routine:
**RETENTION:** 6 months

b. Blood film, other than routine:
**RETENTION:** 1 year

c. Cytology slide, showing abnormality:
**RETENTION:** 7 years

d. Cytology slide, showing **no** abnormality:
**RETENTION:** 3 years

e. Bone marrow biopsy, tissue block, and histopathology slide:
**RETENTION:** 20 years

f. Bacteriology slide, on which **no** diagnosis depends:
**RETENTION:** 0

g. Bacteriology slide, on which a diagnosis depends:
**RETENTION:** 1 year

h. Cytogenetic slide:
**RETENTION:** 6 years

i. Photographic record of cytogenetic karyotype:
**RETENTION:** 25 years

j. Recipient blood specimens:
**RETENTION:** 1 week

♦11.[396] **Blood collection, release, transfusion and related records**

a. When plasmapheresis, cytapheresis, intraoperative and postoperative blood recovery, isovolemic hemodilution or reinfusion is involved:
**RETENTION:** 7 years after procedure involved

b. Other blood related records, including autogenic or allogenic transfusions:
**RETENTION:** 7 years, or 6 months after the expiration date of the

individual product, whichever is later

12.[397] **Biologics receipt and distribution record**

a. Detailed delivery record:
**RETENTION:** 2 years

b. Summary record of receipt and distribution:
**RETENTION:** 5 years

13.[398] **District laboratory supply station records**

a. Notification of establishment or discontinuance of station or of appointment or termination of its caretaker:
**RETENTION:** **PERMANENT**

b. Certificate of approval of station maintenance:
**RETENTION:** 2 years

c. Periodic inventory of station supplies:
**RETENTION:** 6 years

♦14.[399] **Laboratory examination test results (clinical)**

a. Positive report of syphilis serology:
**RETENTION:** 7 years

b. Negative report of syphilis serology:
**RETENTION:** 2 years

c. Tissue pathology (including exfoliate cytology) report:
**RETENTION:** 20 years

d. Cytogenetics report:
**RETENTION:** 25 years

e. Clinical, **except** those listed above:
**RETENTION:** 7 years

♦15.[761] **Forensic and toxicology test results**:
**RETENTION:** 6 years

**NOTE:** These records may need to be retained as long as related case investigation records. Consult the appropriate law enforcement or investigative agency to determine if these records may be needed longer for legal purposes.

♦16.[400] **Laboratory examination test results (environmental health)**

a. Chemical analysis of potable water supply:
**RETENTION:** 10 years

b. Routine analysis of water at pool or beach:
**RETENTION:** 0 after posted to summary record, or 3 years if not posted

c. All other environmental health test results:
**RETENTION:** 3 years

d. Sampling data and other test results maintained by laboratory of public water supply facility, created pursuant to Section 5-1.49, *10NYCRR*:
**RETENTION:** 12 years

e. Local health agency copy of any environmental analysis received from laboratory:
**RETENTION:** 1 year

# RADIOLOGICAL HEALTH

♦1.[177] **Approvals** and registrations relating to radiological equipment and materials

a. Approval to possess or use radioactive materials, received from New York State Department of Health, and related records:
**RETENTION:** 3 years after local government, facility or program no longer possesses or uses radiological materials

b. Registration of radiation-producing equipment with New York State Department of Health, and related records:
**RETENTION:** 2 years after expiration or renewal

♦2.[178] **Radiation-exposure records** for an individual

a. Records of diagnostic misadministrations:
**RETENTION:** 3 years

b. Records of therapeutic misadministrations:
**RETENTION:** 6 years

c. Radiation-exposure data for an individual, including records of radioactive material deposited or retained in body:
**RETENTION:** 0 after individual attains age 90

♦3.[762] **Records of occupational doses** for an individual using radiation-producing equipment or radiological materials

a. Annual or other summary occupational dose records:
**RETENTION:** 0 after individual attains age 90

b. Detailed occupational dose records:
**RETENTION:** 0 after annual or other summary record containing this information is produced

c. Records of prior occupational dose:
**RETENTION:** 0 after individual attains age 90

d. Records of planned special exposures:
**RETENTION:** 0 after individual attains age 90

♦4.[179] **Radiation equipment testing and inspection records**

a. Regulatory inspection and audit records, including master summary record and "index card":
**RETENTION:** 6 years after equipment no longer in use

b. Equipment accuracy testing records, including surveys, calibrations, measurements, and quality control tests:
**RETENTION:** 3 years

♦5.[180] **Records of disposal, theft, loss, or excessive release of radiation**

a. Records concerning theft or loss of radiation source, excessive release of radiation, or excessive exposure of individual to radiation, including documentation of notification:
**RETENTION:** **PERMANENT**

b. Record of disposal by burial in soil:

**RETENTION:** **PERMANENT**

c. Records of authorized transfer or receipt, or issue and return of radiation source or radioactive materials, or disposition by incineration or release into sanitary sewer system:
**RETENTION:** 6 years

♦6.[763] **Radiation program safety records**

a. Records documenting provisions of program:
**RETENTION:** 3 years after program ceases to exist

b. Audits and other reviews of program content and implementation:
**RETENTION:** 3 years

c. Records documenting specific instructions given to workers:
**RETENTION:** 3 years

# MISCELLANEOUS

♦1.[401] **Birth and death records held by health agency or facility**, including copies of birth and death certificates, and related electronic records:
**RETENTION:** 0 after no longer needed

**NOTE:** The New York State Department of Health requires these records be destroyed as soon as no longer needed. Paper copies of birth and death certificates shall be destroyed within one year of the date of their receipt. Copies of fetal death certificates **must** be destroyed by the end of each month, pursuant to Section 4160, Public Health Law.

2.[402] **Medical rehabilitation service card**:
**RETENTION:** 6 months after completion of annual report

♦3.[764] **Dental clinic records**

a. Dental hygienist's clinic record:
**RETENTION:** 0 after youngest person on record attains age 21

b. Dental referral card, notifying clinic of work done by private dentist:
**RETENTION:** 2 years

c. Individual dental treatment summary record:
**RETENTION:** 6 years after dental work completed, or 3 years after individual attains age 18, whichever is longer

4.[403] **Maternal and child health reports**

a. Clinic service report, including but not limited to school health service report, and report of poisoning case, **except** lead poisoning:
**RETENTION:** 1 year

b. Individual newborn infant metabolic defects screening report:
**RETENTION:** 0 after individual attains age 21

5.[406] **Lead poisoning reports and screening results**

a. Positive results of screening, when **not** duplicated in case record:
**RETENTION:** Retain as long as case record.

b. Positive results of screening, when duplicated in case record:
**RETENTION:** 0

c. Negative results of screening, when posted to summary record:
**RETENTION:** 0 after posting

d. Negative results of screening, when **not** posted to summary record:
**RETENTION:** 0 after individual attains age 21

e. Blood level determination report:
**RETENTION:** 10 years

f. Summary report of screening program:
**RETENTION:** **PERMANENT**

♦6.[765] **Cancer study and control program records**

a. Cancer case report for individual, received and used for statistical purposes:
**RETENTION:** 6 years, or 3 years after individual attains age 18, whichever is longer

b. Cancer summary record for individual:
**RETENTION:** 2 years after individual dies or attains age 90

7.[766] **Negative tuberculosis X-ray films or interpretive reports** resulting from screening program:
**RETENTION:** 3 years

♦8.[407] **Individual immunization record,** including authorization and/or parental consent:
**RETENTION:** 6 years, or 3 years after individual attains age 18, whichever is longer

9.[408] **Vaccine distribution and usage records**

a. Official record of distribution and usage:
**RETENTION:** 25 years

b. Statistical or similar record of vaccines administered:
**RETENTION:** 5 years

♦10.[409] **Results of screening programs**, **except** lead poisoning

a. Summary reports on screening results:
**RETENTION:** **PERMANENT**

b. Master index or listing of participants:
**RETENTION:** 50 years

c. Positive report of individual screened, including statement of consent or participation and authorization for release of information:
**RETENTION:** 6 years, or 3 years after individual attains age 18, whichever is longer

d. Negative report of individual screened, including statement of consent or participation and authorization for release of information:
**RETENTION:** 1 year

e. Log or other working record of screening and testing, used to compile statistics and other data:
**RETENTION:** 1 year

f. Anonymous H.I.V. test results and related records:
**RETENTION:** 7 years

**NOTE:** Identifiable H.I.V. related records are covered by item nos. 379 and 381, and related laboratory records are covered by items in the Laboratory subsection.

♦11.[410] **Receipt and storage records** for controlled substances (or other drugs or medication), including inventory, authorized requisition, receipt and vendor record:
**RETENTION:** 5 years

♦12.[411] **Usage and distribution records** for controlled substances (or other drugs or medication)

a. Record of withdrawal from stock, distribution and administration to patients:
**RETENTION:** 5 years

b. Order or prescription form used for administering to patients:
**RETENTION:** 6 years

c. List of narcotic registrants (persons registered to possess or prescribe controlled substances):
**RETENTION:** 0 after obsolete

d. Report on habitual user of narcotics:
**RETENTION:** 6 years

♦13.[767] **Tissue donation and transfer records**

a. Master summary record (index or log) of all tissue donations and transfers:
**RETENTION:** **PERMANENT**

b. Reproductive tissue donation records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use (other than those contained in patient medical records), of donated reproductive tissue in artificial insemination and/or assisted reproductive procedures which result in a live birth:
**RETENTION:** 25 years

c. Reproductive tissue donation records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of

tissue disposal and/or use (other than those contained in patient medical records), of donated reproductive tissue in artificial insemination and/or assisted reproductive procedures which **do not** result in a live birth:
**RETENTION:** 7 years after release or discard of tissue

d. Other tissue donation and transfer records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use (other than those contained in patient medical records), **for tissue intended for transplantation**:
**RETENTION:** 7 years after release or discard of tissue

e. Records of release of tissue or nontransplant anatomic parts for research or educational purposes:
**RETENTION:** 5 years after release

♦14.[768] **Organ procurement and transplant records**

a. Master summary record (index or log) of all organ donations and transplants:
**RETENTION:** **PERMANENT**

b. Other organ donation and transplant records, including but not limited to information on donor and donation, referral records, documentation of delivery or receipt, information on recipient and records of use (other than those contained in patient medical records), when organ is procured:
**RETENTION:** 7 years after date of procurement

c. Other organ donation and transplant records, including but not limited to information on donor and donation, referral records and explanation of why organ is not procured (other than those contained in patient medical records), when organ is **not** procured:
**RETENTION:** 7 years after date of most recent entry in record

# PUBLIC PROPERTY AND EQUIPMENT

♦1.[412] **Real property acquisition or sale file** for property owned by local government including but not limited to copy of deed, copy of appraisal or valuation, copy of site or plot plan, photographs, recommendation or justification for acquisition or sale, approval for acquisition or sale, closing statement, memoranda and correspondence

a. Copy of site or plot plan, photographs, and recommendation or justification for acquisition or sale:
**RETENTION: PERMANENT**

b. Other records in file, including but not limited to copy of deed, copy of appraisal or valuation, closing statement, approval for acquisition or sale, memoranda and correspondence:
**RETENTION:** 6 years after property no longer owned by local government

**NOTE:** This does **not** apply to a sale of real property tax liens conducted by the local government. See the Taxation and Assessment section.

2.[413] **Master summary record** (book, log or register) recording acquisition or sale of property by local government:
**RETENTION: PERMANENT**

3.[414] **Official copy of sale or auction list, and notice or advertisement of sale of real property by local government**:
**RETENTION: PERMANENT**

♦4.[415] **Capital construction or public improvement project file**, including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements

a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; and significant correspondence:
**RETENTION:** 6 years after building or facility no longer exists or is no longer owned by local government

**NOTE:** Appraise these records for historical significance prior to disposition. Records for important projects or historic structures have historical value and should be retained permanently. Contact the State Archives for additional advice.

b. Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence and detailed construction specifications:
**RETENTION:** 6 years after last entry in project file

c. Unsuccessful bids, to which contract is **not** awarded:
**RETENTION:** 6 years

d. All records, when project is proposed but **not** undertaken:
**RETENTION:** 6 years after last entry

**NOTE:** For plans, maps, designs, sketches, designs, architectural drawings and photographs of buildings and facilities, see item no. 416, below.

♦5.[416] **Official plans, maps, designs, architectural drawings, and photographs** for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project

a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant building or other facility:
**RETENTION:** **PERMANENT**

b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for **other than** significant building or other facility:
**RETENTION:** 6 years after building or facility no longer exists or is no longer owned by local government

c. Mechanical, electric and other detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:
**RETENTION:** 6 years after building or facility no longer exists or is no longer owned by local government

d. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other

records:
**RETENTION:** 6 years after completion of project

**NOTE:** Some of these non-graphic documents may need to be retained for 6 years after the building or other facility no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

e. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:
**RETENTION:** Retain as long as the related specific automated design files are retained.

f. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:
**RETENTION:** Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.

♦6.[417] **Draft or intermediary plans, maps, designs, sketches or architectural drawings,** including explanatory textual files, tracings and **other than** final or "as built" automated design files:
**RETENTION:** 0 after no longer needed

**NOTE:** Some of these design documents may need to be retained for 6 years or longer, possibly as long as the building or other facility exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

♦7.[769] **Maintenance, testing, service, operational and repair records** for buildings and other facilities or their mechanical, electrical systems or other infrastructure

a. Cumulative summary records:
**RETENTION:** 6 years after building or other facility no longer in use

b. Individual detailed report or related record, such as work request, work order, personnel deployment record, preventive maintenance schedules and records of work completed, when posted to cumulative summary record:
**RETENTION:** 6 years

c. Individual report or related record, such as work request, work order,

personnel deployment record and records of work completed, when **not** posted to cumulative summary record:
**RETENTION:** 6 years after building or other facility no longer in use

d. Log, maintenance schedule or similar record of ongoing activity:
**RETENTION:** 6 years after last entry

e. Descriptive information on specific equipment or component parts:
**RETENTION:** 6 years after equipment or part no longer in use

f. Descriptive information on maintenance personnel, vendors or contractors:
**RETENTION:** 1 year after superseded or obsolete

g. Inventories of parts, materials and supplies needed for maintenance and repairs:
**RETENTION:** 6 years

h. Requests for inspection, repair or service, when no work is performed and no funds expended:
**RETENTION:** 1 year

**NOTE:** For plans, designs and schematic drawings of buildings and facilities, including their systems and component parts, see item no. 416, above.

♦8.[770] **Reports and studies relating to maintenance, testing, service, operation and repairs** for buildings and other facilities or their mechanical, electrical systems or other infrastructure:
**RETENTION:** 6 years

**NOTE:** Some of these reports may need to be retained longer for long-term facility management purposes, such as for 6 years after building or other facility no longer in use. Some may even have permanent historical or other research value. Contact the State Archives for additional information.

♦♦9.[418] **Building or facility security records**, including but not limited to visitor's register, watchman's or automated security system or false alarm reports, and records of building/room keys or passes issued:
**RETENTION:** 3 years, or 3 years after cancellation or return of key or pass

**NOTE:** This item does not cover airport security records, which are covered by item no. 537 in the Transportation and Engineering section, Airport subsection.

♦10.[419] **Public facility use file**, including but not limited to requests, correspondence, fiscal records and authorizations:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. In some cases, facility use files may document significant attempts by the local government to broaden its support base by reaching out to community groups.

♦11.[420] **Fire safety records**, including but not limited to fire safety inspection reports, fire drill report, fire alarm records, fire inspection reports and fire investigation reports

**NOTE:** Records maintained by the public safety agency which performs official fire safety functions are covered by item nos. 446, 448 and 449 in the Public Safety section, Fire Fighting and Prevention subsection.

a. Fire safety inspection reports:
**RETENTION:** 3 years, or until all violations noted on report are corrected, whichever is later

b. Records **other than** fire safety inspection reports:
**RETENTION:** 3 years

♦12.[421] **Property inventory** records, covering buildings, facilities, vehicles, machinery and equipment, including "fixed assets" records:
**RETENTION:** 0 after superseded by updated inventory, or 6 years after replacement, sale, or discontinuance of use of all property listed, whichever is sooner

13.[422] **Inventory of supplies**:
**RETENTION:** 6 years

14.[423] **Public property sale or discard records**, **except** real property, including but not limited to description of property, bids or offers, and receipt of deed of gift:
**RETENTION:** 6 years

♦15.[424] **Maintenance, testing, service, operational and repair records** for equipment or vehicle, but **not** covering buildings and other facilities or their mechanical, electrical systems or other infrastructure

a. Cumulative summary record for vehicle or equipment:
**RETENTION:** 6 years after vehicle or equipment no longer in use

b. Individual report when posted to cumulative summary record:
**RETENTION:** 6 years

c. Individual report when **not** posted to cumulative summary record:
**RETENTION:** 6 years after vehicle or equipment no longer in use

d. Maintenance or repair log or similar record:
**RETENTION:** 6 years after last entry

e. Reports and studies relating to maintenance, testing, service, operation and repairs for equipment or vehicles:
**RETENTION:** 6 years

f. Requests for inspection, repair or service, when no work is performed and no funds expended:
**RETENTION:** 1 year

16.[425] **Specifications, warranty and descriptive information** received from vendor for vehicle or equipment:
**RETENTION:** 6 years after vehicle or equipment no longer in use

♦17.[426] **Vehicle routing, scheduling and usage records**, including automated system used to schedule and assign routes of service and maintenance vehicles

**NOTE:** This does **not** apply to emergency use of law-enforcement, fire or other emergency vehicles, which are covered by items in the Public Safety section. For usage records covering busses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection.

a. Detailed data file containing information such as on vehicle stops, usage, locations at specific times or intervals:
**RETENTION:** 0 after no longer needed

**NOTE:** Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. It is recommended that local officials store this data offline long enough to meet such requirements.

Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:
**RETENTION:** 6 years

c. Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of legal or fiscal value:
**RETENTION:** 6 years

d. Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which **do not** contain information of legal or fiscal value:
**RETENTION:** 0 after no longer needed

e. Geographic Information System (G.I.S.) street/road data file used for vehicle routing scheduling, derived from official G.I.S. data maintained by other unit of local government:
**RETENTION:** 0 after no longer needed

♦18.[427] **Consumption and dispensing records** for fuel, oil, or similar products used by publicly owned vehicles or equipment:
**RETENTION:** 6 years

**NOTE:** This item does not cover fuel (jet fuel and service vehicle fuel), de-icer or other chemical storage and dispensing records for airport, which are covered by item no. 862 in the Transportation and Engineering section, Airport subsection.

♦19.[428] **Request for services or supplies**, including stockroom supplies, forms and publications, duplication, or use of any vehicle or equipment

a. When a chargeback or fee is involved:
**RETENTION:** 6 years

b. When **no** chargeback or fee is involved:
**RETENTION:** 0 after no longer needed

20.[429] **Federal Communications Commission (F.C.C.) private radio licensing records**

a. Original application and other related records not created for renewal applications:
**RETENTION:** 5 years after **final** termination of license or denial of application

b. Renewal application and related records, including copy of license:
**RETENTION:** 5 years after renewal or termination of license or denial of application

c. Request for frequency data research:
**RETENTION:** 1 year

d. Listing of locations of radios using local government private radio frequency:
**RETENTION:** 0 after superseded or obsolete

♦21.[430] **Petroleum bulk storage records**

a. Registration, including application and related records:
**RETENTION:** 7 years after expiration or termination of registration or denial of application

b. Monthly and ten-year mandatory inspection reports:
**RETENTION:** 10 years

c. Daily and other periodic inspection reports:
**RETENTION:** 1 year

d. Test certification for underground storage tank:
**RETENTION:** 7 years

e. Site assessment and related records, required when an underground storage tank is abandoned:
**RETENTION:** **PERMANENT**

f. Records relating to leakage and spillage:
**RETENTION:** **PERMANENT**

g. Inventory monitoring records:
**RETENTION:** 5 years

♦22.[771] **Aquatic weed harvesting and/or control records** (covers harvesting by

mechanical or manual means or control by use of herbicides):
**RETENTION:** 3 years

♦♦23.[913] **Hazardous waste generation records**

a. Individual load delivery and other detailed records, including manifest form:
**RETENTION:** 3 years after waste accepted by transporter

b. Annual and exception reports:
**RETENTION:** 3 years after due date of report

c. Test results and waste analyses:
**RETENTION:** 3 years after date waste was removed

**NOTE:** This item covers records of local governments which generate hazardous waste but do not operate programs to collect and dispose of hazardous waste. For governments that operate such programs, item no. 190 in the Environmental Health section, Environmental Facilities: Solid Waste Management Facilities subsection, covers records of the generation, collection and disposal of hazardous waste.

♦♦24.[773] **Building rehabilitation and reconstruction project files** when asbestos is installed, removed, encapsulated, applied, distributed or otherwise involved:
**RETENTION:** 30 years

♦25.[774] **Lead or copper content testing and remediation files** covering lead or copper content in drinking water of public facilities

a. Water sample test results and related records, when lead or copper level exceeds the action level as defined in Section 5-1.41, *State Sanitary Code*:
**RETENTION:** 50 years

b. Water sample test results and related records, when lead or copper level **does not** exceed the action level as defined in Section 5-1.41, *State Sanitary Code*:
**RETENTION:** 10 years

c. Records of remediation by replacement of lead or copper plumbing:
**RETENTION:** 6 years after building no longer exists

d. Records of remediation by elimination or replacement of water cooler not connected to plumbing:

**RETENTION:** 6 years after cooler eliminated or replaced

♦26.[775] **Pesticide (including herbicide, rodenticide and disinfectant) application record** (showing kind and quantity used, dosage rate, method of application, target organism, area and time of application):
**RETENTION:** 3 years

**NOTE:** Records of incidents of possible exposure to pesticides (including herbicides, rodenticides and disinfectants), and other records created because pesticides are considered "toxic substances," are covered by item no. 325 in the Personnel/Civil Service section.

♦27.[776] **Inventory of pesticides** (including herbicides, rodenticides and disinfectants) maintained by local government:
**RETENTION:** 40 years after superseded or obsolete

♦28.[777] **Annual report of pesticides** (including herbicides, rodenticides and disinfectants) used, submitted to New York State Department of Environmental Conservation:
**RETENTION:** 2 years

♦29.[778] **Application for business/agency pesticide registration**, including all related records:
**RETENTION:** 1 year after superseded or invalid

♦30.[779] **Records relating to certification for individual certified commercial applicator**, including copy of application, records of training in use of pesticides, examination results, copy of certificate and recertification records:
**RETENTION:** 6 years

♦31.[780] **Permits and approvals** from state or county health department to operate pool or beach:
**RETENTION:** 3 years after denial or expiration

♦32.[781] **Reports of pool or beach operation and inspection**:
**RETENTION:** 21 years

♦33.[782] **Facility inmate work crew records**, covering crews from state or county correctional facilities performing work outside the facilities for local government or not-for-profit organization, including but not limited to request for work crew and site visit report:
**RETENTION:** 2 years

♦♦34.[783] **Self-evaluation records,** required under Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or

requirements

a. Voluntary compliance plan for facility, including list of persons consulted, description of areas examined, transition plan, list of problems identified and description of modifications anticipated and made:
**RETENTION:** **PERMANENT**

b. Copies of work orders, progress notes and other supporting documentation:
**RETENTION:** 1 year after modifications completed

♦♦35.[784] **Inspection reports, reviews and audits** (internal and external) created relative to the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements:
**RETENTION:** 6 years after building or facility involved is no longer in use

♦♦36.[785] **Individual case records**, filed under the provisions of the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements, including but not limited to complaint, charge or request for reasonable accommodation, medical reports, responses, records of appeals, correspondence and internal memoranda, records documenting work done in response to complaint or request, and documentation of final resolution

a. When complaint or request is filed by officer or employee of the local government involved:
**RETENTION:** 3 years after resolution of case and termination of any reasonable accommodation provided

b. When complaint or request is filed by person **other than** officer or employee of the local government involved:
**RETENTION:** 3 years after date of final entry in record, but not less than 3 years after person involved attains age 18

♦♦37.[786] **Master summary record of all cases** under the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements:
**RETENTION:** **PERMANENT**

♦38.[787] **Videotape or other recording maintained for security purposes**

a. Videotape or other recording containing incidents warranting retention for administrative or potential legal uses:
**RETENTION:** 3 years, but not until any minor has attained age 21

b. Videotape or other recording **not** containing incidents warranting retention for administrative or potential legal uses:

**RETENTION:** 0 after no longer needed

♦39.[788] **Records relating to protection of underground facilities**

a. Notice of or request for excavation, received by local government from excavator, pursuant to *16 NYCRR*, Section 753-5.2, including notice of postponement or cancellation and notice of discovery of unknown facility:
**RETENTION:** 4 years

b. Master list or central registry of operators of underground facilities located within borders of county or municipality:
**RETENTION:** 0 after superseded or obsolete

♦40.[789] **Records filed by contractor or sub-contractor with local government related to public works project**, pursuant to Section 220 (3-a), Labor Law, including but not limited to copy or abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification:
**RETENTION:** 3 years after contract completion

♦41.[790] **Water supply system records,** covering water supply system (such as private well) maintained by local government for its own use

**NOTE:** Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.

a. Permits and approvals necessary to establish or operate system, including supporting data and other related records:
**RETENTION:** **PERMANENT**

b. Original entry and intermediary charts, graphs and other data collected relating to water usage, water levels and water quality:
**RETENTION:** 10 years

c. Reports and related data collection and other summary records showing long-term trends and developments:
**RETENTION:** **PERMANENT**

d. Reports and related records **not** showing long-term trends and developments:
**RETENTION:** 10 years

e. Reports and test results on unsatisfactory water supply samples:
**RETENTION:** 20 years

f. Log recording summary information collected at periodic intervals such as

changes in pressure and level, proportion of chemicals present, operational changes and problems:
**RETENTION:** **PERMANENT**

g. Log recording all or routine information such as changes in pressure and level, proportion of chemicals present, operational changes and problems:
**RETENTION:** 5 years

**NOTE:** If no logs containing summary information are generated, local governments may wish to retain all or some records covered by part "g" of this item longer, for both long-term administrative use and for potential research purposes.

♦42.[878] **Energy consumption monitoring records** showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility

a. Detailed data collected from sensors or monitors, and detailed reports generated from such data:
**RETENTION:** 0 after no longer needed

**NOTE:** Some of this data and these detailed reports may need to be retained for 6 years for energy consumption trending analysis or energy consumption audit purposes. The State Archives recommends that local governments consult the Office of the State Comptroller or their own auditor to determine which data may have long-term value.

b. Equipment maintenance, testing and service records, **except** detailed records of routine activities:
**RETENTION:** 6 years after equipment no longer in use

c. Detailed records of routine maintenance, testing and service:
**RETENTION:** 6 years

d. Reports relating to energy consumption and environmental conditions, including reports of problems and corrective actions taken, summary reports of environmental conditions, and reports showing long-term energy consumption trends, along with accompanying charts, graphs and data tables:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical or other long-term significance prior to disposition. Records showing long-term trends in energy use may need to be retained permanently, or at least 6 years after the building or other facility is no longer in use. Contact the State Archives for additional advice.

♦43.[791] **Records relating to mines owned or operated by local government**

a. Plans, maps and environmental impact statements generated as part of application process to obtain permit from New York State Department of Environmental Conservation to operate mine, or to obtain permit renewal:
**RETENTION:** **PERMANENT**

b. Other records generated as part of application process to obtain permit from New York State Department of Environmental Conservation to operate mine, or to obtain permit renewal, including but not limited to original and renewal application, actual permit, reports and correspondence:
**RETENTION:** 3 years after mine closed and land reclaimed

c. Mine registration with the United States Department of Labor, Mine Safety and Health Administration (MSHA) known as "Legal Identity Report":
**RETENTION:** 3 years after mine closed and land reclaimed

d. Listing of employment, accident and injury data, submitted annually by MSHA to local government:
**RETENTION:** 5 years

e. Quarterly mine employment and coal production report, submitted to MSHA, as required by *30 CFR*, Section 50.30:
**RETENTION:** 5 years

f. Basic information on employees working at mine, known as "population survey," submitted to MSHA, as required by *30 CFR*, Section 45.4:
**RETENTION:** 0 after no persons listed on report still work at mine

**NOTE:** The annual training plan for employees who work at a mine is covered by item no. 584 in the General section. Accident and personal injury reports are covered by item no. 741 in the Personnel/Civil Service Section, Personnel subsection. The rescue plan is covered by item no. 449 in the Public Safety section, Fire Fighting and Prevention subsection.

Training certification records for each employee working at a mine are covered by item no. 314 in the Personnel/Civil Service section, Personnel subsection.

# PUBLIC SAFETY

## E-911 AND RELATED RECORDS

♦1.[792] **Master Street Address Guide (MSAG) and related records**

a. MSAG data base, containing such information as road/street names, address ranges, addresses, community names, telephone numbers, and information on properties, structure and individuals:
**RETENTION:** Maintain as perpetual data file, and 1 year after replaced by superseding MSAG data file.

**NOTE:** Appraise these records, which may contain valuable information on properties, structures and residents, for secondary uses as well as historical significance prior to disposition. Periodic "snapshots" of this data may be created and maintained as either electronic files saved to disk, tape or diskette, or as hard-copy output such as printed maps, or in both formats. Contact the State Archives for additional advice on the creation and maintenance of these records.

b. Street alias file, containing alternative road or street names:
**RETENTION:** Maintain as perpetual data file, and 3 years after replaced by superseding street alias file.

c. Records of updates, corrections and confirmations to MSAG database, including assignments of new or revised street addresses:
**RETENTION:** 3 years

d. Non-permanent road/street related information, such as relating to temporary closure of road or street:
**RETENTION:** 3 years after information becomes invalid

♦2.[793] **Telephone utility address records**

a. Copy of database or printout received from telephone utility:
**RETENTION:** 0 after no longer needed

b. Updates, corrections, trouble reports and Automatic Location Information (ALI) discrepancy reports, submitted to and received from telephone utility:
**RETENTION:** 1 year

♦3.[794] **Non-emergency call receipt and response records**, such as those contained in E-311 system, E-911 system module, or other electronic or manual system by which non-emergency calls are handled:
**RETENTION:** 1 year

♦4.[795] **Automatic Number Information (ANI) and Automatic Location Information (ALI) records**

a. ALI database, containing street address information on each telephone number:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments which do not maintain MSAG data files may wish to retain this record as a perpetual data file, and for 1 year after replaced by a superseding data file.

b. ANI and ALI reports, such as printouts of ANI or ALI screen displays and similar records, but **not** including ALI discrepancy reports:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments should consult their attorney or counsel before these records are disposed of regarding any potential legal value.

♦5.[796] **E-911 system development and implementation records**

a. Feasibility and implementation reports and studies:
**RETENTION:** 6 years after completion of project

**NOTE:** Appraise these records for historical significance prior to disposition. Because of the costs involved and significance of implementing E-911 and related systems, these records may be important in documenting the system itself as well as the implementation process. Contact the State Archives for additional advice.

b. Background materials used in preparing feasibility and implementation reports and studies, preliminary maps, and detailed statistical and other supplementary data accompanying reports and studies:
**RETENTION:** 6 years after completion of project

c. Records relating to establishment of road/street names, address ranges and addresses, including changes in names of roads/streets and address range

changes, including standards followed for naming, addressing and address conversions:
**RETENTION: PERMANENT**

d. Aerial photographs and final maps created in conjunction with system implementation:
**RETENTION: PERMANENT**

## COMPUTER-AIDED DISPATCH (CAD)

♦1.[797] **Computer-aided dispatch (CAD) or incident data file**, containing data on each call received and equipment dispatch or other resulting action taken:
**RETENTION:** 3 years

**NOTE:** In some automated systems no MSAG data file exists, and the CAD or incident data file assumes this function. In these cases local governments should consider maintaining this record as a perpetual data file, and 1 year after replaced by superseding data file.

**NOTE:** Incidents involving minors, casualties, serious injuries, homicides, fires which are incendiary in nature or under investigation, or unsolved law enforcement cases, may necessitate retention of data relating to these incidents longer for potential or ongoing legal needs. Contact the State Archives for additional advice.

♦2.[431] **Emergency call receipt and/or equipment dispatch record**, including but not limited to police or fire incident report or alarm report, generated each time an alarm or call is received and equipment is dispatched or other resulting action taken

a. When record contains **no** information on emergency medical treatment of an individual:
**RETENTION:** 3 years

**NOTE:** Incidents involving minors, casualties, serious injuries, homicides, fires which are incendiary in nature or under investigation, or unsolved law enforcement cases, may necessitate retention of data relating to these incidents longer for potential or ongoing legal needs. Records custodians may wish consult their attorney, counsel or law enforcement agency before these records are disposed of regarding any potential longer legal value. Contact the State Archives for additional advice.

b. When record contains information on emergency medical treatment of an individual:
**RETENTION:** 6 years, or 3 years after individual attains age 18, whichever is longer

♦3.[798] **Geographic Information System (G.I.S.) records used in emergency dispatch process**

a. Street, road right-of-way, road centerline, hydrant, tax parcel or other data layer (official copies maintained and/or updated by dispatching unit):
**RETENTION:** Maintain as perpetual data files, and 1 year after superseded.

b. Street, road right-of-way, road centerline, hydrant, tax parcel or other data layers (other than official copies, where official copy is maintained by other unit of local government which maintains the G.I.S.):
**RETENTION:** 0 after no longer needed

c. G.I.S. file and process documentation records, covering G.I.S. operations where dispatch unit creates, revises or performs analyses on data layers and related files:
**RETENTION:** Maintain until G.I.S. system used in dispatch is superseded or no longer used.

♦4.[432] **Communications log** (radio, telephone, alarm or other) recording each communication between caller and receiving unit **or** between dispatch unit and mobile unit or field personnel, for law enforcement agency, fire department or district, emergency medical or central emergency dispatch unit:
**RETENTION:** 3 years after last entry

**NOTE:** Local governments should consult their attorney or counsel before these records are disposed of regarding any potential legal value.

♦5.[433] **Tape recording of communications** kept by dispatch unit of law-enforcement agency, fire department or district, emergency medical service or central emergency dispatch unit:
**RETENTION:** 0 after information posted to emergency call receipt and/or equipment dispatch record

**NOTE:** Records custodians may wish consult their attorney, counsel or law enforcement agency before these records are disposed of regarding any potential

legal value. The State Police suggests that these tapes be retained for at least 30 days if economically feasible. Recordings of serious incidents may warrant longer retention for legal reasons. These tapes should be retained until legal action is resolved, or the relevant specific communications should be transferred onto a separate tape. Contact the State Archives for additional advice.

♦6.[799] **Call receipt and dispatch related reports**, other than individual incident reports

a. Incident data files submitted to New York Department of State:
**RETENTION:** 2 years

b. Summary data reports and detailed reports containing information of potential legal or fiscal value:
**RETENTION:** 6 years

c. Internal information reports of no legal or fiscal value, such as daily activity reports:
**RETENTION:** 0 after no longer needed

# PUBLIC SAFETY: GENERAL

**NOTE:** Software and software manuals and documentation are not considered "records" under the Local Government Records Law. Local governments may need, however, to retain older versions of software, as well as relevant manuals and documentation, to document the operation of public safety related systems for legal purposes, such as defending the integrity of systems in court actions. Contact your counsel or attorney for advice in this area prior to destroying outdated software and related documentation.

♦1.[471] **Accreditation records for law enforcement, fire fighting or prevention or emergency medical services agency or unit:**
**RETENTION: PERMANENT**

♦2.[800] **Emergency vehicle, apparatus and equipment records**

**NOTE:** Items covering purchase, warranty, repair, fuel use, and replacement are found in the Public Property and Equipment section.

a. Vehicle upkeep and use records, including records of incidents where vehicle responded and equipment was used:
**RETENTION:** 3 years

b. Vehicle readiness checklist, or equivalent record, for any emergency vehicle, needed to ensure that necessary equipment and material is in place and in proper order:
**RETENTION:** 3 years

c. Record of equipment (other than firearms) issued to public safety personnel:
**RETENTION:** 1 year after equipment returned or otherwise disposed of

♦3.[435] **Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel**, but **excluding** emergency medical personnel

a. Individual's record of courses attended and/or completed, including basic information on course content:
**RETENTION:** 6 years after individual leaves service

**NOTE:** Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.

b. Official copy of training manual or bulletin:
**RETENTION:** 50 years

c. Course instruction records, including attendance lists and lesson plan:
**RETENTION:** 1 year

♦4.[801] **Alarm records**

a. Permit files for connecting fire, water or burglar alarm to public safety agency emergency telephone system, including applications, copies of permits, inspection reports and related records:
**RETENTION:** 6 years after denial, expiration or renewal

b. Alarm or fire alarm box call record containing basic information on each alarm transmitted:
**RETENTION:** 3 years

c. False alarm records, including but not limited to lists of false alarms, notices sent to property owners and records of assessing and collecting fines for responses to false alarms:
**RETENTION:** 6 years

d. Alarm location records, including maps and listing and descriptions of alarms:
**RETENTION:** 3 years after superseded or obsolete

♦5.[802] **Public safety personnel service data file** or equivalent record, including incident and activity attendance information showing names of personnel present at fire or other emergency, including attendance at training, drills, meetings and other official activities

**NOTE:** This item does not cover the personnel records of officer, employee or volunteer. See the Personnel/Civil Service section of this schedule.

a. Summary data on an individual:
**RETENTION:** 3 years

b. Detailed data on an individual, when posted to or listed on summary data file or other record:
**RETENTION:** 1 year

c. Detailed data on an individual, when **not** posted to or listed on summary data file or other record:
**RETENTION:** 3 years

♦6.[803] **Public safety real property data file**, containing basic and detailed information on land and structures, including hazards, property inspections, and individuals associated with properties

a. Basic or "history file" data:
**RETENTION:** Maintain as updated perpetual data file, for as long as system remains in use and property covered comes under service area.

**NOTE:** Local governments should **consider** permanent retention of the basic data elements of these property "history" files for all parcels of property, or the creation and permanent retention of "snapshots" of this data. This information may be useful for long-range planning purposes, and for community, urban planning, public safety issues, and other research. Contact the State Archives for additional advice.

b. Detailed data, including plans and computer-assisted design records:
**RETENTION:** 0 after superseded or obsolete

c. Records of updates and corrections to property data:
**RETENTION:** 3 years after update or correction made

♦7.[804] **Documentation of macros, queries, and reports**

a. Relating to specific case investigation or subject file:
**RETENTION:** Retain as long as the case investigation or subject file for which the documentation is created is retained.

b. **Not** relating to specific case investigation or subject file:
**RETENTION:** 0 after no longer needed

**NOTE:** Depending on the results obtained from generating these macros, queries and reports, local officials may wish to retain these records for potential legal and other uses.

♦8.[805] **Hazardous materials records**

a. Hazardous materials location report or exemption filed with fire department or district, or equivalent record:
**RETENTION:** 3 years after hazardous materials no longer stored at site

**NOTE:** Local officials may wish to retain these records longer, possibly as long as 40 years, if the hazardous materials listed on this record include substances listed in Subpart Z, *29 CFR* (federal O.S.H.A. Regulations).

b. Textual reference information containing medical, chemical or other information used to assist dispatchers and responding personnel, and maps of agency/service coverages:
**RETENTION:** 3 years after superseded or obsolete

c. Reports on hazardous materials found in the service area in its entirety, or at specific locations:
**RETENTION:** 3 years after hazardous materials listed in report are no longer present at listed sites

**NOTE:** Local officials may wish to retain these records longer, possibly as long as 40 years, if the hazardous materials listed on this record include substances listed in Subpart Z, *29 CFR* (federal O.S.H.A. Regulations). In addition, if these reports document the presence of hazardous materials in a community at a given time, they should be appraised for historical

significance. These records may have immediate significance for fire fighting and disaster prevention and long-term research value in situations where the hazardous materials found in the area had a significant impact on the community. Contact the State Archives for additional advice.

♦9.[806] **Standard Operating Procedures** for call receipt and dispatch, including codes, abbreviations and authority file data:
**RETENTION:** **PERMANENT**

**NOTE:** Detailed routine procedures are covered by item no. 9 in the General section.

♦10.[807] **Reference files on municipalities, districts and volunteer entities** in service or neighboring areas:
**RETENTION:** 0 after superseded or obsolete

**NOTE:** Appraise these records for historical significance prior to disposition. These records may have long-term historical value in documenting emergency services in a given area. Contact the State Archives for additional advice.

# EMERGENCY MEDICAL SERVICES

♦1.[808] **Patient care records**

a. Ambulance run or prehospital care record created each time a patient is transported by emergency vehicle and/or administered medical treatment:
**RETENTION:** 6 years, or 3 years after individual treated and/or transported reaches age 18, whichever is longer

b. Patient care data file, containing medical treatment and/or billing information on individual treated by emergency medical personnel:
**RETENTION:** 6 years, or 3 years after individual treated and/or transported reaches age 18, whichever is longer

c. Summary record of all patients treated and/or transported:
**RETENTION:** 3 years

♦2.[440] **Ambulance run or emergency medical treatment chronological log,** or equivalent record:
**RETENTION:** 6 years after last entry

♦3.[441] **Emergency medical training records**, covering local government employees who receive training

a. Application for training or certification filed by individual:
**RETENTION:** 6 months

b. Original entry training records, when posted to summary record:
**RETENTION:** 1 year

c. Original entry training records, when **not** posted to summary record:
**RETENTION:** 7 years

d. Summary record of training:
**RETENTION:** 7 years

**NOTE:** Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.

e. Course materials, **except** final or annual reports:
**RETENTION:** 7 years after course completed

♦4.[809] **Emergency medical training records**, covering local governments which are course sponsors, including but not limited to information on individuals, course files, and information on instructors, as required by Section 800.20, *10NYCRR*

a. Information on individuals and course files:
**RETENTION:** 5 years

b. Information on instructors:
**RETENTION:** 5 years after working association of each instructor ceases

♦5.[810] **Rescue and disaster response reports** and related records, covering specific incidents:
**RETENTION:** 3 years, but not until 3 years after any minor involved attains age 18

**NOTE:** Specific rescue and disaster response records should be appraised for historical value, and may warrant permanent retention, based on the serious nature of the incident involved. These records may not be duplicated in disaster response files, covered by item no. 136 in the Disaster Preparedness section. Contact the

State Archives for additional advice.

♦6.[811] **Emergency medical services reports**, containing information on such subjects as specific types of medical emergencies, types of supplies used, and call frequency

a. Reports containing billing information:
**RETENTION:** 7 years

b. Reports **not** containing billing information:
**RETENTION:** 1 year

c. Summary data received from New York State Department of Health:
**RETENTION:** 0 after no longer needed

# FIRE FIGHTING AND PREVENTION

♦1.[442] **Blotter** or equivalent record providing summary information on all significant activities of a fire department or district:
**RETENTION: PERMANENT**

♦2.[443] **Log**, journal or similar chronological record of all activity at a fire station:
**RETENTION:** 3 years after date of most recent entry

♦3.[444] **Fire department or district incident listing or report,** received from New York State Department of State

a. When blotter or equivalent record is **not** kept by department or district:
**RETENTION: PERMANENT**

b. When incidents listed on printout are also shown on blotter or log:
**RETENTION:** 0 after no longer needed

♦4.[445] **Reports on fire-fighting activity, not including** incident reports

a. Reports dealing with serious incidents or problems, or major issues with long-term implications, such as covering overall status of fire-fighting apparatus, equipment and facilities, fire-fighting readiness capability and personnel performance evaluation, and fire casualty reports:
**RETENTION: PERMANENT**

b. Reports on routine activities, including but not limited to daily activity

report, daily communications report, false alarm investigation report, and other periodic report, which contain information of legal or fiscal value:
**RETENTION:** 6 years

c. Reports on routine activities, which **do not** contain information of legal or fiscal value, and reports which contain information duplicated in reports covered by part "a" or part "b," above:
**RETENTION:** 0 after no longer needed

d. Informational reports received from county fire coordinator:
**RETENTION:** 0 after no longer needed

♦5.[446] **Fire investigation records**

a. First, second or third degree arson investigation records, disaster or casualty investigation records, or records of investigations of major fires or significant fires of suspicious origin:
**RETENTION:** **PERMANENT**

b. Fourth degree arson investigation records:
**RETENTION:** 10 years

c. Routine fire investigation records, not covered by parts "a" or "b," above:
**RETENTION:** 3 years

d. Master summary record of all fire investigations:
**RETENTION:** **PERMANENT**

♦6.[447] **Fire mutual aid plan**

a. Final plan, including maps and other attachments:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation used in producing final plan:
**RETENTION:** 3 years after final plan completed

♦7.[448] **Fire safety inspection records**

a. Master summary record of inspections performed:
**RETENTION:** **PERMANENT**

b. Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:
**RETENTION:** 21 years

c. Report on inspection of single family dwelling and notice of violation:
**RETENTION:** 6 years

♦8.[449] **Fire evacuation plan, disaster response plan, fire drill report, fire safety survey,** but not including mutual aid plan:
**RETENTION:** 3 years after superseded or obsolete

♦9.[450] **Fire hydrant records**

a. Master record of hydrant locations:
**RETENTION:** 0 after superseded

b. Installation, repair, location, maintenance, inspection and replacement records:
**RETENTION:**

♦10.[453] **Copies of volunteer department or organization fund-raising records**, maintained by municipality or fire district:
**RETENTION:** 6 years

♦11.[454] **Volunteer Firefighter Service Awards benefit plan**

a. Benefit plan (including all revisions):
**RETENTION:** 0 after superseded and no longer needed to determine benefits

b. Drafts and supporting documentation used in producing and updating plan:
**RETENTION:** 1 year

♦12.[455] **Annual report ("census of members")** received from Volunteer Firefighters Insurance Service (VFIS):
**RETENTION:** 0 after superseding report received

♦13.[456] **Summary records of volunteers** listing credits earned and providing breakdown of types of services and how credits earned

a. Annual summary report or listing:
**RETENTION:** 55 years

b. Monthly or other periodic reports or listings:
**RETENTION:** 3 years

♦ 14.[457] **Volunteer Firefighter Service Awards records relating to individual volunteer**

a. Records showing credits earned and providing breakdown of types of services and how individual earned credits:
**RETENTION:** 6 years after individual leaves service

b. Copy of initial and vested certificates of membership in awards plan:
**RETENTION:** 6 years after individual leaves service

c. Copy of application to join service awards plan and/or life insurance plan, along with declination statement and related records:
**RETENTION:** 6 years after individual leaves service

d. Beneficiary designation records:
**RETENTION:** 0 after superseded or obsolete

e. Records relating to individual's challenge to plan's, department's or district's assignment or of number of points earned:
**RETENTION:** 3 years after appeal concluded or other disagreement otherwise resolved

♦ 15.[812] **Controlled burn records,** covering legally approved burning of leaves and debris permitted by fire department or district:
**RETENTION:** 3 years

## LAW ENFORCEMENT: GENERAL

♦ 1.[458] **Incident data summary record**, including blotter, "desk record book," or equivalent record containing summary record of department or station activities:
**RETENTION:** **PERMANENT**

♦ ♦ 2.[466] **Law enforcement reports, studies or data queries,** including their documentation

a. Reports, studies or queries having legal or fiscal value, such as reports covering use of equipment and personnel resources, reports on crime in specific neighborhoods or on specific kinds of criminal activity, daily

activity reports and individual officer "diaries":
**RETENTION:** 6 years

**NOTE:** Appraise records covered by part "a" for archival value. Reports and studies analyzing law enforcement activity within a municipality for specific kind of criminal activity or a given area may be valuable for long-term planning, analysis of trends in law enforcement, and for historical and other research. Contact the State Archives for additional advice.

b. Reports, studies or queries having no legal or fiscal value, such as daily communications or other routine internal reports:
**RETENTION:** 0 after no longer needed

c. Uniform Crime Reports submitted to State Division of Criminal Justice Services:
**RETENTION:** 1 year

d. Incident-based reports or queries:
**RETENTION:** 3 years

e. Report or study of law enforcement activity within municipality, generated for local law enforcement agency by county, regional or state law enforcement agency (local law enforcement agency copy):
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise records covered by parts "e" and "f" for archival value. Reports and studies analyzing law enforcement activity within a municipality or specific area may be valuable for long-term planning, analysis of trends in law enforcement, and for historical and other research. Contact the State Archives for additional advice.

f. Report or study of law enforcement activity within municipality, generated for local law enforcement agency by county, regional or state law enforcement agency (copy retained by county or regional creating agency):
**RETENTION:** 3 years

♦♦3.[460] **Case investigation record** for adult, juvenile offender, youthful offender or juvenile delinquent, including but not limited to complaint, investigation report, arrest report, property record, and disposition of the case

a. For homicides, suicides, arson (first, second or third degree), missing persons (until located), active warrants, and stolen or missing firearms (until

recovered or destroyed):
**RETENTION:** **PERMANENT**

b. For all felonies **except** those covered by parts "a" and "c", and fatalities other than homicides:
**RETENTION:** 25 years after case closed

**NOTE:** Appraise case investigation files for these felonies for historical and other research value, as well as for analysis of long-term trends. Contact the State Archives for additional advice.

c. For fourth degree arson and non-fatal accidents:
**RETENTION:** 10 years after case closed

d. For misdemeanor:
**RETENTION:** 5 years after case closed

e. When offense involved was a violation or traffic infraction:
**RETENTION:** 1 year after case closed

f. When investigation reveals no offense has been committed by adult:
**RETENTION:** 5 years

g. When individual involved was a juvenile and no arrest was made, **or** no offense was committed:
**RETENTION:** 1 year after individual attains age 18

h. Domestic incident report, created pursuant to Section 140.10(5), Criminal Procedure Law, when case investigation record is created:
**RETENTION:** Retain for 4 years or as long as rest of case investigation report, **whichever is longer**.

♦4.[813] **Master summary record of case investigation information:**
**RETENTION:** 0 after no longer needed to access case investigation records

**NOTE:** Appraise this record for archival value. This record may supplement the incident data summary record in providing summary information on all case investigations conducted by the law enforcement agency. Contact the State Archives for additional advice.

♦5.[461] **Individual identification file, except** jail or penitentiary prisoner case record, including but not limited to fingerprint cards, photographs, record sheets from other

agencies, local arrest and disposition records, and miscellaneous reports

**NOTE:** Section 160 of the Criminal Procedure Law requires that individual identification records be returned to the individual involved or destroyed when criminal actions are terminated in favor of the accused or by conviction for a noncriminal offense.

a. When offense involved was a crime (misdemeanor or felony):
**RETENTION:** 5 years after death of individual, or 0 after individual attains age 80, whichever is shorter, provided no arrest in the last 5 years

**NOTE:** Records created before establishment of the D.C.J.S. statewide automated identification system in 1966 are not duplicated at the state level and should be appraised for both archival value and ongoing legal and administrative purposes. Contact the State Archives for additional information.

b. When offense involved was a violation or traffic infraction:
**RETENTION:** 5 years

c. Digital "mug shot" file, containing digital photos and relevant accompanying data on an individual, when official copies of photos are retained in hard copy as part of part "a" or "b," above:
**RETENTION:** 0 after no longer needed

**NOTE:** Digital "mug shot" file, containing digital photos and relevant accompanying data on an individual, when official copies of photos are **not** retained in hard copy, must be retained as specified in part "a" or "b," above.

**NOTE:** Appraise these digital files for archival, legal and administrative value. They may have long term value in criminal investigation. Contact the State Archives and the Division of Criminal Justice Services for additional advice.

d. Digital fingerprint file, containing digital images used to produce fingerprint cards:
**RETENTION:** 0 after no longer needed

e. Photo arrays, created by combining identification photos for identification and investigative purposes:
**RETENTION:** Retain as long as relevant case investigation record.

f. Criminal record summaries ("rap sheets"), received from Federal Bureau of Investigation or other law enforcement agency:
**RETENTION:** Retain most current copy as long as relevant case investigation, or 0 after superseded or obsolete if unrelated to case investigation.

g. Authorized requests for criminal information contained in local government law

enforcement agency records, along with response and record of action taken:
**RETENTION:** 6 years

♦6.[814] **Personal information data file**

a. Data on criminals and suspects:
**RETENTION:** Retain data for 5 years after death of individual, or 0 after individual attains age 80, whichever is shorter, provided no arrest in the last 5 years.

b. Data on associated persons, such as victims, relatives and witnesses:
**RETENTION:** Retain data as long as, or information as part of, relevant case investigation record.

c. Documentation of updates and changes to data:
**RETENTION:** Retain as long as data which has been changed or updated.

d. Trouble and discrepancy reports regarding personal information data:
**RETENTION:** 3 years

♦7.[815] **County- or region-wide arrest information cumulative data file**, covering county- or region-wide area:
**RETENTION:** Maintain as perpetual data file, with superseded or corrected data maintained for 3 years after data updated.

♦8.[816] **Profiling reports and related records**, including macros, workspaces or other files (including all documentation) created in profiling process

a. Relating to specific case investigation:
**RETENTION:** Retain as long as relevant case investigation record.

b. Not relating to specific case investigation:
**RETENTION:** 0 after obsolete

♦♦9.[914] **Confidential informant records**, maintained separately from confidential informant information contained in case investigation records

a. Master index or listing of confidential informants:
**RETENTION:** **PERMANENT**

b. Detailed information on confidential informant:
**RETENTION:** 0 after individual is deceased or attains age 90

# LAW ENFORCEMENT: PERSONAL PROPERTY

♦1.[462] **Personal property record**

a. For dangerous weapon, including but not limited to receipt, identification tag, and report of destruction:
**RETENTION:** 6 years after disposition of property, or 0 after disposition of any related case investigation records, **whichever is longer**

**NOTE:** Local law enforcement officials may wish to retain these records longer for investigative or other long-term administrative purposes. See also item no. 492, below.

b. For other property, including but not limited to receipt, confiscated currency report, identification tag, and report of public auction or destruction:
**RETENTION:** 6 years after disposition of property

♦♦2.[465] **Identification records for an individual person or for number-engraved property**

a. Personal identification card for an individual, including Sheriff ID, copies of child fingerprint records and records of distribution of child identification kits:
**RETENTION:** 0 after no longer needed

**NOTE:** Local governments should consult with their legal counsel to determine if these records merit continuing retention due to legal value or for law enforcement purposes, such as in locating and identifying missing children.

b. Property number assignment register:
**RETENTION:** 0 after obsolete

c. Identification/validation records for missing or stolen property, license plates, licenses, registrations or ID cards (if **not** part of case investigation records):
**RETENTION:** 0 after no longer needed

3.[469] **Pawn shop records**, including lists of pawn shops, purchase and sale reports and reports on stolen property:
**RETENTION:** 5 years

4.[487] **Bicycle licensing or registration record**

a. When a fee is charged:

**RETENTION:** 6 years after expiration or renewal

b. When **no** fee is charged:
**RETENTION:** 1 year after expiration or renewal

# LAW ENFORCEMENT: FIREARMS

♦1.[490] **Firearm licensing file**, including application for license to sell, carry, possess, repair and dispose of firearms, and supporting records such as affidavit of character reference, and verification of reason for license

a. When application is approved:
**RETENTION:** 6 years after license was renewed, canceled, revoked, or expired, or after individual is known to have deceased or reached age 90

b. When application is disapproved, after any litigation is completed:
**RETENTION:** 6 months

2.[491] **Individual firearm purchase record**:
**RETENTION:** 6 years

♦3.[492] **Certificate of nondestruction of, or notice of intent to destroy, weapon or dangerous instrument, appliance, or substance**, including results of New York State Police files search:
**RETENTION:** 6 years after disposition of property, or 0 after disposition of any related case investigation records, **whichever is longer**

**NOTE:** See also item no. 462, above.

♦4.[494] **Records of issuance of firearms or other weapons to law enforcement personnel:**
**RETENTION:** 3 years after return or other disposition of weapon

♦5.[495] **Repair and maintenance records for firearms or other weapons used by law enforcement personnel:**
**RETENTION:** 3 years after weapon no longer in use

♦6.[817] **Record of stolen or missing firearms:**
**RETENTION:** 0 after all firearms are located or destroyed

# LAW ENFORCEMENT: MOTOR VEHICLES (including watercraft)

♦1.[481] **Traffic and parking violation records**, including parking, speeding or other appearance ticket (other than court's copy); officer's supporting deposition; parking violation hearing records; "boot and tow" records; and related records:
**RETENTION:** 2 years after any litigation has been completed

♦2.[485] **Speed-timing records**

a. Original record produced by radar or other speed-timing device:
**RETENTION:** 2 years after any litigation has been completed

b. Records of use of speed-timing, such as radar activity log and reports of speed monitoring:
**RETENTION:** 3 years

**NOTE:** These records may have long-term value in transportation planning, in providing information on average and excessive speeds for specific road segments.

c. Calibration and other quality control and testing records for speed-timing devices:
**RETENTION:** 3 years after device no longer in use

♦3.[482] **Vehicle accident case record**, including vehicle accident report and related records, after any litigation has been completed:
**RETENTION:** 6 years, or 3 years after youngest individual involved attains age 18, whichever is longer

**NOTE:** This item does not cover the case investigation record. See item no. 460, above.

♦4.[483] **Vehicle history files**, including information on specific vehicles or vehicle models, including those which have been involved in accidents or used in the commission of crimes:
**RETENTION:** 0 after no longer needed

♦5.[484] **Individual's driving and accident records**

a. Order, report, or notice concerning vehicle operator's license or registration, including but not limited to order of suspension or revocation of license, notice of compliance with order of suspension or revocation, notice of noncompliance, notice of restoration of license, and report of lost or stolen plates:
**RETENTION:** 3 years

b. Driver's summary record of accidents, violations and other activities:
**RETENTION:** 0 after death of individual, or 90 years after date of birth, if death not verified

♦6.[486] **Impounded or abandoned vehicle record**, including but not limited to impound report, tow-away notice to owner, request for information to determine the last owner, notice to owner and lien holders that vehicle has been taken into custody as abandoned, affidavit stating how ownership was acquired by municipality, transfer of ownership document, and bill of sale:
**RETENTION:** 6 years after disposition of vehicle by local government

7.[488] **Reports or other records of repossessed vehicles, not impounded by law enforcement agency:**
**RETENTION:** 1 year

♦8.[489] **Vehicle towing records**

a. Lists of companies available for towing vehicles:
**RETENTION:** 0 after superseded or obsolete

b. Contract or agreement with towing firm:
**RETENTION:** 6 years after expiration or termination

♦9.[818] **Driver-vehicle examination report or equivalent record,** created when local law enforcement agency conducts motor carrier safety inspection:
**RETENTION:** 7 years

♦10.[819] **Motor vehicle accident and other summary data**, reports and other records:
**RETENTION:**6 years

**NOTE:** Appraise these records for archival value. These records may be useful in providing summary information on all motor vehicle accidents, and may reveal long-term trends and accident-prone areas and vehicles. Contact the State Archives for additional advice.

# LAW ENFORCEMENT: INCARCERATION

♦1.[474] **Master summary record of all prisoners**, including "daily record of the commitments and discharges of all prisoners," including date of entrance, name, offense, term of sentence and other information required by Section 500-f, Correction Law:
**RETENTION:** **PERMANENT**

♦2.[820] **Prisoner data file:**
**RETENTION:** Maintain data for each prisoner 15 years after death or discharge of that prisoner.

**NOTE:** If this record takes the place of the master summary record (item no. 474, above) then it must be retained permanently.

♦3.[475] **Prisoner case record**

a. Case records, including but not limited to commitment, general information history, presentence investigation reports, record sheets from other agencies, record of personal property taken from prisoner upon commitment, record of letters written and received, copies of general correspondence concerning prisoner, reports of infractions of rules, prisoner's health records, and suicide prevention screening records, **but not including** commissary records:
**RETENTION:** 15 years after death or discharge of prisoner

b. Commissary records, including listing of items requested by prisoner, and prisoner transaction record:
**RETENTION:** 3 years

♦4.[476] **Facility housing supervision records, including prisoners' activities log**, including such information as identities of visitors, prisoners' phone calls and mail, and records of visits to cells by officers checking on condition of prisoners:
**RETENTION:** 3 years

♦5.[477] **Prisoners' periodic work report** listing names of prisoners by work assignments:
**RETENTION:** 3 years after all prisoners listed have been discharged

♦6.[478] **Complaint or incident report involving alleged prisoner abuse, injury, or similar occurrence** showing description of the problem, identifying the individuals involved and stating the action taken, after any litigation has been

completed:
**RETENTION:** 6 years, or 0 after individual involved attains age 21, whichever is longer

♦7.[479] **Inspection, audit and other reports or studies**, conducted by New York State Commission of Correction or other state or local agency, covering such subjects as jail conditions, compliance with state standards, and prisoner fatalities:
**RETENTION:** 6 years

**NOTE:** Appraise these records for archival value. Local officials should retain permanently any reports or studies documenting serious incidents or problems. Contact the State Archives for additional advice.

♦8.[480] **Reports relating to local correctional facility or lock-up**

a. Reports containing legal and fiscal information:
**RETENTION:** 6 years

**NOTE:** Appraise these records for archival value. Reports and studies analyzing facility prisoners, occupancy or conditions may be useful for long-term planning, analysis of trends in law enforcement, and for historical and other research. Contact the State Archives for additional advice.

b. Reports of short-term internal administrative value:
**RETENTION:** 0 after no longer needed

♦9.[821] **Population counts, including daily census of prisoners:**
**RETENTION:** 3 years

♦10.[822] **Visitation records**, including schedule of visits and visitor identification information:
**RETENTION:** 3 years

♦11.[823] **Dietary services records**

a. Food service records, including meal counts, roster of prisoners' diet orders, and dietary services studies:
**RETENTION:** 3 years

b. Menus:
**RETENTION:** 1 year

♦12.[824] **Health and sanitation inspection and related records**, including records of action taken to correct any problems:
**RETENTION:** 6 years

♦13.[825] **Review and censorship records for incoming printed materials and publications**, including evaluations by staff and suitability determinations:
**RETENTION:** 3 years

♦14.[826] **Prisoner exercise records**, including schedule of exercise periods, results of exercise area searches and explanation of any limitations of exercise:
**RETENTION:** 3 years

♦15.[827] **Application of change in maximum facility capacity**, including determination from New York State Commission of Correction, facility staffing determinations, and related records:
**RETENTION:** 3 years after superseded by subsequent change in capacity

♦16.[828] **Substitute jail order** issued by New York State Commission of Correction, authorizing the confinement of some of all prisoners in another correctional facility, and related records:
**RETENTION:** 3 years

**NOTE:** Appraise these records for archival value. These records may provide important information on conditions at the correctional facility which warrant the moving of prisoners to another facility. Contact the State Archives for additional advice.

## LAW ENFORCEMENT: MISCELLANEOUS

♦1.[459] **Warrant execution and subpoena or summons service records**

a. Original signature copies of arrest and other warrants executed by law enforcement agency:
**RETENTION:** 5 years after warrant executed or recalled

b. Other warrant related records, including copies without original signatures and warrant control records:
**RETENTION:** 5 years after date of most recent entry in record

c. Copies of subpoenas and summonses, and records of their service:

**RETENTION:** 2 years

d. Warrant information file:
**RETENTION:** Maintain data on each warrant as long as that warrant is valid.

♦2.[829] **Domestic violence records**, covering single or multiple incidents, not relating to specific case investigation records, including domestic incident report, created pursuant to Section 140.10(5), Criminal Procedure Law, when **no** case investigation record is created:
**RETENTION:** 4 years

3.[472] **Results of alcohol and drug tests administered by law enforcement personnel**, when not included in case investigation records:
**RETENTION:** 5 years

♦4.[463] **Escort service record**, including activities such as funeral, parade, military escort, escorting prisoner to and from court or jail, and delivery of blood to hospital:
**RETENTION:** 3 years

5.[464] **Vacant place check record**, including vacant houses and other places to be checked during patrols:
**RETENTION:** 0 after obsolete

♦6.[467] **Alcoholic beverage establishment sale and use reports**, including checks of New York State Division of Alcoholic Beverage Control (ABC) violations:
**RETENTION:** 5 years

♦7.[468] **Parolee and sex offender records**

a. Lists of parolees or sex offenders living within a jurisdiction:
**RETENTION:** 0 after superseded or obsolete

b. Detailed records on individual parolee or sex offender:
**RETENTION:** 0 after person's parole terminated

**NOTE:** This does not include records created pursuant to the Sex Offender Registration Act, which are covered by item nos. 830 and 831, immediately below.

♦8.[830] **Subdirectory of High-Risk (Level 3) Sex offenders**:

**RETENTION:** 0 after superseded

**NOTE:** The Division of Criminal Justice Services (DCJS) strongly recommends the destruction of superseded information as soon as superseding information is received.

♦9.[831] **Sex offender registration records**, including but not limited to official notification upon registration, change of address information, determination of final risk level, notification of error or change in jurisdiction, notification that offender is no longer registerable, annual address verification, 90-day personal verification (for level 3 offenders), and community notification information

a. For level 1 or 2 offender, when offender remains in local law enforcement agency's jurisdiction:
**RETENTION:** 0 after death of individual, or 5 years after completion of registration period, whichever is earlier

b. For level 1 or 2 offender, when offender has left local law enforcement agency's jurisdiction:
**RETENTION:** 0 after death of individual, or 5 years after offender leaves that jurisdiction, whichever is earlier

c. For level 3 offender, when offender remains in local law enforcement agency's jurisdiction:
**RETENTION:** 0 after death of individual, or individual attains age 100

d. For level 3 offender, when offender has left local law enforcement agency's jurisdiction:
**RETENTION:** 0 after death of individual, or 5 years after offender leaves that jurisdiction, whichever is earlier

♦10.[470] **Missing person records**

a. Missing person files, covering any records not included in case investigation records:
**RETENTION:** 10 years, or 0 after individual attains age 90, whichever is longer

b. Validation records, received from and submitted to State Division of Criminal Justice Services (D.C.J.S.):
**RETENTION:** 6 months

♦11.[832] **Videotape or other recording of booking or arrest processing**

a. When litigation and/or criminal proceedings have commenced:
**RETENTION:** 3 years, but not until any individual has attained age 21, and not until 1 year after any litigation or criminal proceedings have concluded

b. When litigation and/or criminal proceedings have **not** commenced:
**RETENTION:** 3 years, but not until any individual has attained age 21

♦12.[833] **Copy of order of protection,** filed with local law enforcement agency having jurisdiction, pursuant to Article 530, Criminal Procedure Law, and related records

a. Copy of order of protection:
**RETENTION:** 6 months after order expires or otherwise becomes invalid

b. List or similar record of orders of protection in effect in local jurisdiction:
**RETENTION:** Maintain data on each order as long as that order is valid.

♦13.[834] **Videotape or other recording taken from mobile unit**

a. When recording relates to specific case investigation:
**RETENTION:** Retain as long as the case investigation to which the recording relates is retained.

b. When recording does **not** relate to specific case investigation, such as routine traffic stop:
**RETENTION:** 6 months

**NOTE:** Recordings of potentially important incidents may warrant longer retention for legal reasons, even if no case investigation has been initiated. Local law enforcement agencies should carefully review these recordings before destroying or reusing them. In addition, recordings of specific pursuits, arrests and other serious incidents should be appraised for archival or long-term administrative value. Contact the State Archives for additional advice.

♦14.[473] **Child abuse or maltreatment reports** and related records, reporting law

enforcement agency copy, when **not** included in case investigation record:
**RETENTION:** 3 years

**NOTE:** This item covers copies of child abuse and maltreatment reports and related records retained by law enforcement agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. If these records are included in case investigation records, see item no. 460.

## LAW ENFORCEMENT: N.Y.S.P.I.N. AND RELATED RECORDS

♦1.[835] **Lists and posters showing "most wanted" persons, and all points bulletins (APBs):**
**RETENTION:** 0 after superseded or no longer needed

♦2.[836] **N.Y.S.P.I.N. validation records**, including monthly print-out received from New York State Police and related system entry validation records:
**RETENTION:** 13 months from date report received

♦3.[837] **N.Y.S.P.I.N. system purging records**, including "purge reports" received from New York State Police and records relating to data reentry:
**RETENTION:** 0 after any necessary data reentry completed

♦4.[838] **N.Y.S.P.I.N. message records**, covering any messages sent or received over N.Y.S.P.I.N. system:
**RETENTION:** 0 after no longer needed

**NOTE:** The State Archives and the State Police strongly recommend that local law enforcement agencies consider retaining significant messages as part of case investigation records.

♦5.[839] **Daily "archive" information** retained in electronic format (on removable electronic media) from N.Y.S.P.I.N. system:
**RETENTION:** 0 after no longer needed

**NOTE:** The State Archives and the State Police strongly recommend that local law enforcement agencies consider retaining archive data as long as may be needed for convenience of reference.

♦6.[840] **Log of all transactions**, covering all data entry into N.Y.S.P.I.N. system:

**RETENTION:** 0 after no longer needed

**NOTE:** The State Archives and the State Police strongly recommend that local law enforcement agencies consider retaining electronic logs as long as may be needed for convenience of reference.

♦7.[841] **Individual person's authorization** to use the N.Y.S.P.I.N. system

a. Records created by local law enforcement agency, including records of individual's training and acknowledgment of test results:
**RETENTION:** 0 after individual no longer authorized to use the system

b. Listing of authorized individuals, received from State Police:
**RETENTION:** 0 after no longer needed

♦8.[842] **Miscellaneous paper records created from former version of N.Y.S.P.I.N. system** in use prior to 1996:
**RETENTION:** 0 after no longer needed

# RECREATION

## PARKS, RECREATIONAL PROGRAMS AND CIVIC CENTERS

♦1.[506] **Participation, attendance, or enrollment records** for park, recreational facility, camp, civic center, or club

a. Summary record or report:
**RETENTION:** 6 years

b. Records of original entry, including worksheets, used admission tickets and ticket stubs:
**RETENTION:** 6 years, or 1 year after posting to summary record or report, whichever is shorter

c. Statement of disposition of unused tickets, when a fee is charged:
**RETENTION:** 6 years

♦2.[507] **Park, recreational facility, marina, civic center, or club permits**, granted to individual or family, including but not limited to application, affidavit, and copy of stub or license

a. Permit records, when a fee is charged:
**RETENTION:** 0 after invalid, but not less than 6 years

b. Permit records, when **no** fee is charged:
**RETENTION:** 0 after invalid, but not less than 1 year

c. Lease or rental agreement for marina slip:
**RETENTION:** 6 years after expiration, termination or denial

d. Records of dispensing of fuel or other goods or services at marina:
**RETENTION:** 6 years

♦3.[508] **Parental consent records** allowing child's participation in recreational activities, including authorization for medical treatment:
**RETENTION:** 6 years, or 3 years after child attains age 18, whichever is longer

♦4.[509] **Planning and development records** covering such topics as facility construction, improvement and usage:

**RETENTION:** 6 years

**NOTE:** Construction records for recreation facilities are covered by item no. 415 in the Public Property and Equipment section.

**NOTE:** Appraise these records for historical significance prior to disposition. Final reports and studies, especially for major facilities and significant programs, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦5.[510] **Special event file**, including but not limited to official copy of any program or promotional literature, or photographs of events or performances, background materials and supporting documentation:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Official copies of programs or promotional literature, or photographs of significant events or performances, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦6.[511] **Athletic program records**

a. Lists of athletes or participants, records of competitions, and other records **except** scouting records and scouting and training videotapes:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs and videotapes of and programs for significant competitions may have historical value in documenting community-based amateur athletics. Records with historical value should be retained permanently.

**NOTE:** Parental consents are covered by item no. 508, above.

b. Scouting reports and videotapes used for scouting and training purposes:
**RETENTION:** 0 after no longer needed

♦7.[843] **Field trip records**, including but not limited to trip request data; bus driver, staff and chaperone assignments; list of attendees and trip reports:
**RETENTION:** 6 years after date of most recent entry

♦8.[844] **Bus or other vehicle use file**, covering school bus or other vehicle used for transporting persons involved in recreational activities, including but not limited to copies of contracts, certificates of insurance, driver information, daily logs or other reports, and copies of applicable rules and regulations:
**RETENTION:** 6 years

♦9.[845] **Applications for individual acceptance to camp**, or participation in specific recreational programs and activities

a. If applicant is accepted or allowed to participate, and a fee is charged:
**RETENTION:** 6 years after attendance or participation ends

b. If applicant is accepted or allowed to participate, and **no** fee is charged:
**RETENTION:** 3 years after attendance or participation ends

c. If applicant is **not** accepted:
**RETENTION:** 3 years

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES (M.R.& D.D.) RECREATIONAL PROGRAMS

1.[512] **Master summary record** of participants in M.R. & D.D. recreation program:
**RETENTION:** 6 years after last entry

2.[513] **Case record of participant in M.R. & D.D. recreational program**, including individual registration, medical evaluation, social development evaluation, intake/screening report and discharge evaluation:
**RETENTION:** 6 years after participation ends, or 3 years after individual attains age 18, whichever is longer

# CAMPS

♦1.[846] **Facility information data record** containing basic data on camp facilities:
**RETENTION:** 6 years after facility no longer exists

♦2.[847] **Permits and approvals** to operate camp, covering pool, beach, food service and all related permits, including applications and related materials:
**RETENTION:** 3 years after approval, denial, withdrawal or expiration

♦3.[848] **Reports of camp operation and inspection**, including facility safety, health and food service reports:
**RETENTION:** 21 years

♦4.[849] **Routine reports**, including analysis of pool or beach water samples:
**RETENTION:** 1 year

♦5.[850] **Health records for individual camper:**
**RETENTION:** 6 years, but not less 3 years after than camper attains age 18

♦6.[851] **Log or list of illnesses, accidents, injuries** or other health and safety related incidents

a. When information is also contained in individual health records files:
**RETENTION:** 1 year

b. When information is **not** contained in individual health records files:
**RETENTION:** 6 years, but not less than 3 years after youngest person listed in record attains age 18

♦7.[852] **Food management records**

a. Program participation agreement, including attachments and amendments:
**RETENTION:** 6 years after termination of agreement

b. Other program records, including but not limited to application to participate as a sponsor, individual child participation application records, requisition and approval of requisition for donated commodities, **and** fiscal records such as adding machine tapes, purchase orders, claims and vouchers:
**RETENTION:** 6 years

c. Free and reduced meal policy statement, with attachments and certificate of acceptance:
**RETENTION:** 3 years after policy superseded

d. Meal counts and dietary services studies:
**RETENTION:** 3 years

e. Menus:
**RETENTION:** 1 year

♦8.[853] **Food inspection and investigation records**, including inspection report for preparation or serving area and food sanitation complaint investigation records

a. When any significant problem is encountered:
**RETENTION:** 21 years

b. When **no** significant problem is encountered:
**RETENTION:** 3 years

♦9.[854] **Scholarship records** including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, list of scholarships awarded campers, and correspondence:
**RETENTION:** 6 years

# REGIONAL MARKET AUTHORITY

1.[514] **Produce delivery records**, including but not limited to daily load delivery tickets and weigh scale records:
**RETENTION:** 2 years

# SOIL AND WATER CONSERVATION DISTRICT

**NOTE:** This does **not** cover records of the U.S.D.A. Natural Resources Conservation Service offices which are located in each county. Their records are federal records, and their retention is not governed by the State Archives.

1.[515] **Memorandum of understanding** between soil and water conservation district and state, federal or other agency, indicating services to be performed and work to be carried out:
**RETENTION:** **PERMANENT**

2.[516] **Release or agreement** granted soil and water conservation district by landowner for drainage or irrigation purposes:
**RETENTION:** **PERMANENT**

♦3.[517] **Cooperator's case file:**
**RETENTION:** **PERMANENT**

**NOTE:** Municipal cooperators' case files involving discretionary planning review are covered by item no. 345 in the Building and Property Regulation section.

4.[518] **Request for assistance or information, and response** provided by soil and water conservation district, when **no** agreement is entered into by the two parties:
**RETENTION:** 3 years

5.[519] **Cooperator's individual account record** documenting payment for services:
**RETENTION:** 6 years after last entry

6.[520] **Master summary record of all contacts** made by soil and water conservation district:
**RETENTION:** **PERMANENT**

7.[521] **Individual contact record** (log or contact sheet) recording all contacts made by soil and water conservation district:
**RETENTION:** 2 years

8.[522] **Geographic reference file** containing summary information on technical assistance and consultation provided in municipality or geographic area, and basic data on major soil and water conservation projects:
**RETENTION:** **PERMANENT**

9.[523] **Soil group worksheet,** containing detailed breakdown of soil types and land uses for parcel of agricultural property, used in calculating agricultural assessment:
**RETENTION:** 1 year after superseded by updated worksheets

10.[524] **Soil maps,** showing detailed breakdown of soil types and groups, including aerial photographs used in producing maps:
**RETENTION:** **PERMANENT**

♦11.[855] **Copy of environmental impact statement (E.I.S.)**, furnished soil and water conservation district for information and comments

a. When no comments are forwarded to lead agency:
**RETENTION:** 0 after no longer needed

b. When comments are forwarded to lead agency:
**RETENTION:** 1 year

c. Comments on E.I.S. furnished lead agency by district:
**RETENTION:** 6 years

♦12.[856] **Records documenting the establishment, change, or dissolution of a county agricultural district**, regardless of approval or denial:
**RETENTION:** **PERMANENT**

♦13.[857] **Soil test results for farmland soil sample**, including nutrient analysis and recommendations:
**RETENTION:** 3 years

♦14.[858] **Watershed farmer's case file**, including but not limited to farm management assessment, environmental assessment, plan evaluation, whole farm plan and supporting data:
**RETENTION:** **PERMANENT**

# TAXATION AND ASSESSMENT

## VALUATION AND ASSESSMENT

♦1.[525] **Equalization rate records**

a. Certificate of final equalization rate, as determined by New York State Office of Real Property Services:
**RETENTION:** **PERMANENT**

b. Equalization rate determination records **other than** certificate of final rate, including but not limited to notice of tentative rate, data submitted and reports submitted to State Office of Real Property Services:
**RETENTION:** 3 years

♦2.[526] **Copy of tax map,** held by local government which **does not** conduct assessments, where official copy is held by county or municipality:
**RETENTION:** 0 after no longer needed

## ASSESSMENT ROLL/TAX ROLL

1.[527] **Working papers or other intermediary records** used in preparation of, or in posting changes to, assessment roll or tax roll, including but not limited to assessor's notes, Record of Taxable Status and automated data file:
**RETENTION:** 3 years after filing of roll

♦2.[528] **Assessment and tax rolls** (including records relating to correction of errors on assessment and/or tax rolls)

a. Tentative assessment roll:
**RETENTION:** 5 years after filing

b. Final assessment roll:
**RETENTION:** 10 years after filing

c. Non-warrant copy of tax roll, when warrant copy is retained permanently:
**RETENTION:** 1 year after filing

d. Abstract of tax roll:
**RETENTION:** **PERMANENT**

# TAX COLLECTION

♦1.[529] **Tax collection records**

a. Tax collection data file, returned copy of tax bill, copy of receipt issued taxpayer, collector's daily accounts, receiving office tapes, records of overpayment, rebate or refund, record or notice of payment of post-due taxes, report on tax monies collected, request for extension of time to collect taxes, and similar records:
**RETENTION:** 6 years

b. Tax collection history data, containing summary tax collection history information, created from tax collection data file:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for historical significance prior to disposition. This data may be useful for a number of years for convenience of reference, and may possibly have long-term historical value.

c. Documentation of regular updates or corrections made to tax collection data file:
**RETENTION:** 6 years

♦2.[530] **Statement or list of unpaid taxes or taxes due,** or other lists, reports or studies relating to tax collection:
**RETENTION:** 6 years

♦♦3.[531] **Tax escrow account records**

a. Notification of creation, transfer or termination of escrow account:
**RETENTION:** 1 year after termination of account

b. List of tax escrow accounts:
**RETENTION:** 1 year after superseded or obsolete

# MISCELLANEOUS

♦1.[532] **Informational listing or index** used in relation to taxation and assessment, including but not limited to lists of property owners, real estate transfers, address changes, exempt properties, filed grievances, tax redemptions, notice of bankruptcy or foreclosure proceeding, and billing addresses:
**RETENTION:** 1 year after superseded or obsolete

2.[533] **Records of apportionment of tax monies**

a. Annual certificate of apportionment sent to municipality or district:
**RETENTION:** **PERMANENT**

b. Apportionment records, **except** annual certificates:
**RETENTION:** 6 years

3.[534] **Tax search record**, including but not limited to record of searches conducted, abstract of search results, correspondence and memoranda:
**RETENTION:** 6 years

4.[535] **Tax levy and tax rate determination records**, including computation of constitutional tax margin and statement filed with State Comptroller's Office:
**RETENTION:** 6 years

♦5.[859] **Master summary record of real property transfers within area served by local government**:
**RETENTION:** 0 after no longer needed, but not less than 6 years

**NOTE:** Appraise these records for historical significance. These records, compiled from real property transfer reports received from the county, may have continuing value for historical or other research. Contact the State Archives for additional advice.

# TRANSPORTATION AND ENGINEERING

## AIRPORT

**NOTE:** Changes in recordation and recordkeeping requirements for airports are likely to occur during and after the time this Schedule is being finalized for publication. The State Archives will notify local governments which operate airports of any new state or federal records retention requirements. Conversely, these local governments should inform the State Archives when they become aware of any such requirements, or when any records not covered by this schedule are received or created.

♦1.[536] **Operation certification records**, involving certification from the Federal Aviation Administration (FAA):

a. Operating certificate, application for certification and FAA inspection reports relating to certification, operational manual (including all updates):
**RETENTION: PERMANENT**

b. Security-related and other mandates and circulars received from the FAA, along with any related correspondence, dealing with significant issues:
**RETENTION: PERMANENT**

c. Security-related and other mandates and circulars received from the FAA, along with any related correspondence, **not** dealing with significant issues:
**RETENTION:** 1 year after superseded, obsolete or no longer needed

♦2.[537] **Airport security and safety records**

a. Security or safety inspection records, which contain non-routine information or indicate need for maintenance, repairs, or changes in airport operational policies:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Inspection records documenting serious problems or conditions may have historical value and may merit permanent retention. Contact the State Archives for additional advice.

b. Records of routine inspections performed at airport, where longer retention is not necessary for administrative, fiscal or legal reasons:

**RETENTION:** 1 year

c. Other security records, including but not limited to visitor's register, security officers' logs or reports, automated security system reports, false alarm reports, and records of security videotape review:
**RETENTION:** 3 years

**NOTE:** Record documenting potentially important incidents may warrant longer retention for legal reasons. Airport officials should carefully review these records before destroying them. Original records may need to be retained longer than 3 years even if posted to summary records. Contact the State Archives for additional advice.

d. Summary security records, including periodic reports:
**RETENTION:** 6 years

♦3.[538] **Airport tenant legal and reference files**

a. Contract negotiations, contracts, leases and significant correspondence:
**RETENTION:** 6 years after expiration, revocation or renewal

**NOTE:** Appraise these records for historical significance prior to disposition. These records may document the important roles these facilities play in the economic development of the community. In such cases, these records may have continuing value for historical or other research meriting their permanent retention. Contact the State Archives for additional advice.

b. Correspondence, including but not limited to complaints about tenants:
**RETENTION:** 6 years

c. Informational materials, including but not limited to lists of tenants' employees, sample of airline schedules, brochures and advertising materials:
**RETENTION:** 0 after obsolete

**NOTE:** For copies of actual airline schedules, see item no. 861, below.

d. Airline employee security background check, security clearance, and identification records:
**RETENTION:** 6 years after employee no longer employed at airport

♦4.[539] **Airport incident or accident reports**

a. Incident data summary record recording incidents or accidents at airport:
**RETENTION:** 3 years after last entry

b. Incident or accident report and related records:
**RETENTION:** 3 years

**NOTE:** Appraise these records for historical significance prior to disposition. Records documenting serious incidents or accidents have historical value and may merit permanent retention. (For disaster files, see also item no. 136 in the Disaster Preparedness section.) Contact the State Archives for additional advice.

♦5.[860] **Accreditation records for airport personnel**, accredited by American Association of Airports, Airports Council International, or other organization

a. Accreditation records relating to individuals:
**RETENTION:** 6 years after termination of service

b. Other records, including lists of accredited individuals:
**RETENTION:** 0 after superseded or obsolete

♦6.[861] **Airline/airport schedule and usage records**, such as those received from airlines or the FAA, including monthly reports, passenger counts, cargo and load records

a. Summary records, and records containing information with fiscal or legal implications:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Summary records may have historical value in documenting airport activity and may merit permanent retention. Contact the State Archives for additional advice.

b. Routine records, **not** containing information with fiscal or legal implications:
**RETENTION:** 1 year

**NOTE:** Data and related records submitted to and received from the New York State Department of Transportation relative to financial assistance and grant applications is covered by item no. 13b in the General section.

♦7.[862] **Fuel (jet fuel and service vehicle fuel), de-icer or other chemical storage and dispensing records** for airport

a. Consumption and dispensing records for fuel, oil, or similar products used by service vehicles, equipment or airplanes:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Summary records may have historical value in documenting the use of fuel and other chemicals at airports and may merit permanent retention. Contact the State Archives for additional advice.

b. Substance testing records:
**RETENTION:** 3 years

c. Approvals from the New York State Department of Environmental Conservation (or other agency) for storage and dispensing of fuel and other substances:
**RETENTION:** 7 years after expiration or termination of approval or denial of application

d. Records relating to non-significant leakage, spillage and runoff:
**RETENTION:** 6 years

e. Records relating to significant leakage, spillage and runoff, or any leakage from underground storage tanks:
**RETENTION:** **PERMANENT**

**NOTE:** For other petroleum bulk storage records, see item no. 430 in the Public Property and Equipment section.

f. Plans to control leakage, spillage, or runoff, or to deal with accidents and emergencies:
**RETENTION:** **PERMANENT**

# HIGHWAY, ENGINEERING, AND PUBLIC WORKS

**NOTE:** Records relating to water, wastewater, and solid waste management facility projects are found in the Environmental Health section. Records relating to publicly owned property and equipment are found in the Public Property and Equipment section.

**NOTE:** Certain records found in this section may be needed for litigation involving

personal injury incurred by minors. Where appropriate, these records should be retained for 3 years after the individual involved attains age 18, even if the specified retention period has expired.

♦1.[541] **Highway or other transportation structure maintenance and repair records** covering routine maintenance and repair activities and pavement marking:
**RETENTION:** 6 years

2.[542] **Snow and ice removal records**, including log or report of weather conditions:
**RETENTION:** 6 years

♦3.[543] **Highway or transportation structure history file** containing summary information on highways, roads, streets, bridges, elevated railways, overpasses, underpasses, culverts, and other structures, **except** records covering routine maintenance and repair activities

a. All records in file, **except** draft or intermediary records documenting other than significant changes and those closely duplicating other records in file:
**RETENTION:** **PERMANENT**

b. Draft or intermediary records documenting other than significant changes, or closely duplicating other records in file:
**RETENTION:** 0 after no longer needed

♦♦4.[544] **Project file for capital transportation improvement** covering highways, roads, streets, bridges, other structures, parking lots and garages, and public transportation system improvements

a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports, and significant correspondence:
**RETENTION:** 6 years after highway or structure no longer exists or is abandoned

b. Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheets, routine correspondence and detailed construction specifications:
**RETENTION:** 6 years after last entry in project file or until any service life requirement has been met, whichever is later

c. Unsuccessful bids:

**RETENTION:** 6 years after bid rejected

d. All records, when project is proposed but **not** undertaken:
**RETENTION:** 6 years after last entry

**NOTE:** For additional plans, maps, designs, sketches, architectural drawings and photographs of buildings and facilities, see item nos. 546 and 863, below.

5.[545] **Master summary record** (index, log or register) of transportation improvement projects:
**RETENTION:** **PERMANENT**

♦6.[546] **Official maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections of highways, roads, streets, bridges, or other structures** including indices or finding aids, when **not** relating to specific project design files, covered by item no. 863, immediately below

a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:
**RETENTION:** **PERMANENT**

b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for **other than** significant highway or structure:
**RETENTION:** 6 years after structure no longer exists

c. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:
**RETENTION:** 6 years after completion of project

**NOTE:** Some of these non-graphic documents may need to be retained for 6 years after the highway or structure no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

d. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:
**RETENTION:** Retain as long as the related specific automated design files are retained.

e. Index or similar record used to locate, identify and access plans, maps,

designs, sketches, architectural drawings, photographs and other existing records:
**RETENTION:** Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.

♦7.[863] **Design file for capital transportation improvement project,** including plans, maps, designs, sketches, designs, architectural drawings, and photographs for highways and other transportation structures maintained by local government

a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:
**RETENTION:** **PERMANENT**

b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for **other than** significant highway or structure:
**RETENTION:** 6 years after highway or structure no longer exists

c. Detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:
**RETENTION:** 6 years after highway or structure no longer exists

d. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:
**RETENTION:** 6 years after completion of project

**NOTE:** Some of these non-graphic documents may need to be retained for 6 years after the highway or structure no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

e. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:
**RETENTION:** Retain as long as the related specific automated design files are retained.

f. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:
**RETENTION:** Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.

♦8.[864] **Highway, road, street or transportation structure management automated maintenance, repair and inspection system records**, also containing information such as on motor vehicle accidents, highway safety, highway-related permits, complaints and requests for service

**NOTE:** This does **not** apply to automated systems used by public transportation systems, see item no. 867 in the Public Transportation subsection, below.

a. Detailed data file containing information such as on maintenance and repairs:
**RETENTION:** 0 after no longer needed

**NOTE:** Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements, unless official copies are maintained outside the system and are disposed consistent with item nos. 541, 542, 551, 553, 555, 556, and 558 in this section. It is recommended that local officials store this data offline long enough to meet audit or any other requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:
**RETENTION:** 6 years

**NOTE:** Appraise these records for archival value. History files may contain valuable information to document highway, road, street or transportation structure management over a period of time. Contact the State Archives for additional advice in this area.

c. Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of legal or fiscal value:
**RETENTION:** 6 years

d. Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which **do not** contain information of legal or fiscal value, such as when no work is performed and no funds expended:
**RETENTION:** 0 after no longer needed

e. Geographic Information System (G.I.S.) street/road data file used as base maps for system operation, derived from official G.I.S. data maintained by other unit of local government:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for archival value. If G.I.S. data layers contain "value added" information on highways, roads, streets and transportation structures not found in the source files from which they were created, they may have secondary uses. Contact the State Archives for additional advice in this area.

f. Copies of maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections, where official copies are maintained elsewhere, and are covered by item no. 546, above:
**RETENTION:** 0 after no longer needed

9.[547] **Right-of-way records**, including legal description of right-of-way, copies of deeds, maps and photographs:
**RETENTION:** **PERMANENT**

♦10.[548] **Property acquisition records**, documenting acquisition of real property obtained through eminent domain proceedings for transportation-related project, including record of public hearing, findings and determination, appraisal information, copy of court proceedings and correspondence:
**RETENTION:** **PERMANENT**

11.[549] **Recommendation** of Highway Superintendent or Commissioner of Public Works for expenditure of highway or road fund money:
**RETENTION:** 6 years

♦12.[550] **Report or "inventory"** received from and submitted to New York State Department of Transportation on status, mileage, improvements, or other characteristics of highways and bridges:
**RETENTION:** 5 years

**NOTE:** Appraise these records for historical significance prior to disposition. These records may constitute a valuable summary listing of highways and structures. Contact the State Archives for additional advice.

♦13.[551] **Complaint or request for service**, including notification (including communication log and telephone call log) of unsafe, dangerous or defective

condition of highway, street, road, bridge, sidewalk, or other capital improvement, including but not limited to inspection report and record of abatement of condition

a. Summary record (such as log or register) of complaints or requests:
**RETENTION:** 6 years after disposition of all complaints, petitions or requests listed

b. Complaint or request for service, including follow-up records, where remedial action is taken:
**RETENTION:** 6 years after remedial action taken or condition otherwise abated, whichever occurs first

c. Complaint or request for service, including follow-up records, where **no** remedial action is taken:
**RETENTION:** 1 year

♦14.[552] **Transportation- or engineering-related reports, studies or data queries,** including their supporting documentation, covering subjects such as traffic congestion studies, traffic safety studies, traffic sign or signal survey, speed limit change request, including but not limited to information gathering forms; copies of accident reports and court records; copies of maps, plans and surveys; and correspondence

a. Reports, studies or queries having legal or fiscal value:
**RETENTION:** 6 years

**NOTE:** Appraise these records for historical significance prior to disposition. Some of these reports and studies, including their detailed documentation, may contain significant information on such subjects as traffic congestion and traffic safety, and may reveal long-term trends and accident-prone areas and vehicles. Contact the State Archives for additional advice.

b. Reports, studies or queries having no legal or fiscal value, such as daily activity, individual "crew" or "shift" reports," daily communications or other routine internal reports:
**RETENTION:** 0 after no longer needed

♦15.[553] **Traffic sign or signal erection, relocation, or removal records**

a. Records relating to individual or group of interconnected signs or signals, such as authorization for actions taken, photographs, copies of accident

reports, copies of maps and surveys, sketches and diagrams, traffic surveys and correspondence:
**RETENTION:** 6 years after sign or signal replaced or no longer exists, whichever is shorter

b. Road sign or signal listing:
**RETENTION:** 0 after superseded or obsolete

c. Reports and other records of malfunctioning or missing sign or signal:
**RETENTION:** 1 year after sign or signal repaired, removed or replaced

16.[555] **Copies of motor vehicle accident reports** received from law-enforcement or other government agency

a. Accident reports where design or maintenance of highway or structure is relevant to accident:
**RETENTION:** 6 years

b. Routine accident reports:
**RETENTION:** 1 year

17.[556] **Highway related permit file** covering handling of oversized vehicles or equipment, or temporary barricading, obstruction, closing, excavation, construction or encroachment:
**RETENTION:** 6 years after expiration or denial of permit

18.[557] **Public improvement permit file** covering construction work which improves facilities benefiting the public:
**RETENTION:** 6 years after expiration or denial of permit

**NOTE:** This does not apply to building permits or environmental health related permits. See the Environmental Health and Building and Property Regulation sections of this Schedule.

♦19.[558] **Inspection records** for bridges, elevated railways and similar structures:
**RETENTION:** 6 years after structure no longer in use or inspected features have been replaced

♦20.[559] **Intergovernmental agreements, contracts or orders** relative to highway maintenance, and sharing of equipment, materials or services:
**RETENTION:** 6 years after expiration

♦21.[560] **Engineer's reference files**, usually arranged by topic, name or number of road, or name of municipality or other government agency:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for historical significance prior to disposition. These records may contain valuable information on a variety of highway- and transportation- related subjects. Contact the State Archives for additional advice.

22.[561] **Parking lot or garage usage records**

a. Summary record of usage:
**RETENTION:** 6 years

b. Traffic counts, permit applications, or other records of original entry:
**RETENTION:** 6 years

c. Tickets, copies or stubs of tickets:
**RETENTION:** 1 year

23.[562] **Handicapped parking permit records**

a. Copies of permits, applications and related records:
**RETENTION:** 3 years after expiration

b. Master listing of permits or designated parking spaces:
**RETENTION:** 0 after obsolete or superseded

♦24.[865] **Copies of highway, street, road or bridge records received from other governmental jurisdiction:**

a. Where construction or maintenance of highway, street, road or bridge in question is responsibility of local government which receives the records, including instances where highways, streets or roads under separate jurisdictions abut:
**RETENTION:** 6 years after highway or structure no longer exists

b. Copies of records received for information purposes only:
**RETENTION:** 1 year

♦25.[866] **Child safety seat inspection records,** including but not limited to requests for inspection, inspection reports and log or schedule of inspections performed:
**RETENTION:** 3 years

**NOTE:** Some of these records may need to be retained longer for potential legal needs, in case inspected vehicles are involved in personal injury accidents. Consult counsel to determine which records, if any, may need to be retained longer to meet these needs.

## PUBLIC TRANSPORTATION SYSTEM

♦1.[563] **Map, plan, schedule, diagram or sketch** of entire system or specific branch or route providing information on stations, stops, dates of operation and times of arrival and departure

a. Final or "as built" copies of official maps, plans and designs showing system route and details of structures, along with draft or intermediary copies that document significant changes:
**RETENTION:** **PERMANENT**

b. Draft or intermediary copies of official maps, plans and designs showing system route and details of structures, that do **not** document significant changes:
**RETENTION:** 0 after no longer needed

c. Schedules and diagrams showing individual routes and route and time changes:
**RETENTION:** 1 year after superseded or obsolete

**NOTE:** Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of samples only of schedules and diagrams covered by part "c" of the above item. Contact the State Archives for additional advice in this area.

♦2.[867] **Automated operational system** used to monitor and schedule operation of public transportation passenger vehicles (busses and subway vehicles), including Supply Control and Data Acquisition (SCADA) or equivalent system, used to monitor environmental conditions (temperature, humidity, air quality) in vehicles or various areas accessible to the public

**NOTE:** For reports and queries from system data, see item no. 868, below. For alarm, problem and emergency records created from system data, see item no. 869, below.

a. Detailed data file containing information such as on vehicle stops, usage,

locations at specific times or intervals:
**RETENTION:** 0 after no longer needed

**NOTE:** Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. It is recommended that public transportation systems store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:
**RETENTION:** 6 years

**NOTE:** Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. Contact the State Archives for additional advice in this area.

c. Voice data maintained in or by automated system, including conversations between central operational unit and individual vehicle operators, and voice data used for annunciation on vehicles:
**RETENTION:** 0 after no longer needed

**NOTE:** Records custodians may wish to consult their attorney, counsel or law enforcement agency before these records are disposed of regarding any potential legal value. Recordings documenting serious incidents may warrant longer retention for legal reasons. These tapes should be retained until legal action is resolved, or the relevant specific communications should be transferred onto a separate tape. Contact the State Archives for additional advice.

♦3.[564] **System operational records of original entry** created in non-automated system or used for data entry or verification, where significant information is data entered or posted to reports and other summary records (including but not limited to passenger counts, tickets, and stubs):
**RETENTION:** 0 after posted to summary record

♦4.[868] **Operational reports and queries for public transportation system,** including macros, queries and necessary documentation used in report and query generation

a. Reports and queries dealing with serious incidents or problems, or major

issues with long-term implications:
**RETENTION:** **PERMANENT**

b. Reports on routine activities, which contain information of legal or fiscal value:
**RETENTION:** 6 years

c. Reports on routine activities, which **do not** contain information of legal or fiscal value:
**RETENTION:** 0 after no longer needed

♦5.[869] **Public transportation system alarm, problem and emergency records**

a. Narrative records documenting serious problems or emergencies, including data necessary to support such records:
**RETENTION:** **PERMANENT**

b. Records documenting minor or routine alarms or problems, including detailed data generated by automated systems when certain parameters are exceeded:
**RETENTION:** 3 years

c. Contingency or similar plans to deal with emergency situations:
**RETENTION:** **PERMANENT**

♦6.[870] **Bus driver's daily work or tour of duty report**, reporting road failures and any defects noted, created pursuant to *17NYCRR* Section 721.21 (b)

a. If report indicates no maintenance problems, or when no significant work is performed and no funds expended:
**RETENTION:** 6 months

b. If significant work is performed and funds are expended:
**RETENTION:** 6 years after vehicle no longer in use

♦7.[871] **Public transportation safety plan files**, covering plans submitted to New York State Department of Transportation pursuant to Part 975, *17NYCRR*

a. Copy of plan, including all amendments:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation:
**RETENTION:** 6 years

♦8.[565] **Operational certification and review records** relating to approval and inspection by New York State Department of Transportation

a. Operations review records:
**RETENTION:** **PERMANENT**

b. Certificate of inspection and approval to operate:
**RETENTION:** 6 years after invalid

c. Copies of operational records received from private transportation companies serving local government under contract:
**RETENTION:** 0 after no longer needed

d. Data collected in preparation of annual fiscal and service data reports, including statistical sampling records:
**RETENTION:** 6 years after submission of related report

♦9.[872] **Special federal- or state-funded public transportation program records**, covering Special Transportation Services for the Transportation Disabled, special mobility improvement projects related to transportation enhancements within the Metropolitan Commuter Transportation District, and Rural Public Transportation Assistance Program

a. Service plans (including all amendments), final or annual reports, results of audits and reviews, and related policies and procedures, including eligibility requirements and documentation of provider or services coordinator selection:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation:
**RETENTION:** 6 years

♦10.[873] **Commuter traffic reduction program records**, covering Employee Commute Option (ECO), Transportation Demand Management (TDM), or similar program records

a. Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates, including records relating to agency review, approval, disapproval and appeal (copies maintained by local

government acting as Local Administrative Agency):
**RETENTION:** 6 years after superseded or obsolete

**NOTE:** Appraise these records for archival value. These records may be useful in providing information on relieving traffic congestion problems in certain urban areas. Contact the State Archives for additional advice.

b. Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates (copy maintained by local government employer):
**RETENTION:** 3 years after superseded or obsolete

c. Bi-annual maintenance report (copy maintained by local government employer or local government acting as Local Administrative Agency):
**RETENTION:** 6 years

d. Information on potential participants, including list of applicants and individual employee surveys:
**RETENTION:** 3 years

♦ 11.[874] **Special public transportation related studies,** covering subjects such as commuter parking, car pooling, bicycle paths, bicycle lanes, and bus route changes

a. **Final reports**, including all attachments:
**RETENTION:** **PERMANENT**

b. Background materials and supporting documentation:
**RETENTION:** 6 years after completion of report or date of most recent entry in record

♦ 12.[875] **Special bus trip records** covering trips conducted outside normal public transportation schedule, such as "curb-to-curb" handicapped vehicle use; transportation provided by aging, youth, veterans' and other specialized services; and trips to special events; and including applications for service, lists of attendees, trip reports, and records of fees collected:
**RETENTION:** 6 years

♦ 13.[876] **Predecessor public transportation company records**, covering private bus companies, trolley, horse-car railroad, or turnpike companies, held by successor local government agency:
**RETENTION:** 0 after no longer needed

**NOTE:** Appraise these records for historical significance prior to disposition. Some of these records will likely possess significant value for historical or other research and should be retained permanently. These records may contain valuable information which supplements records created by the local government itself, and may constitute some of very few existing records documenting these functions before the 1970s. Contact the State Archives for additional advice.

♦♦14.[915] **Annual affidavit of compliance** submitted to the New York State Department of Motor Vehicles certifying compliance with requirements for bus drivers as indicated in Article 19-A of Vehicle and Traffic Law, including accompanying annual statistical report on miles traveled by buses, driver convictions and accidents, and related information:
**RETENTION:** 3 years after end of current year

## TOLL BRIDGE OR TOLL ROAD

1.[566] **Copies of, applications for, or canceled or validated tickets or pass books**:
**RETENTION:** 1 year

2.[567] **Cumulative record or sale or issuance of toll books, tickets, or passes**:
**RETENTION:** 6 years

3.[568] **Traffic or usage counts** for toll bridge or toll road:
**RETENTION:** 6 years

4.[569] **Operational log** for toll bridge or toll road:
**RETENTION:** 6 years after date of last entry

# YOUTH SERVICES

1.[572] **Annual comprehensive plan and compliance report** relating to youth services, also includes detention care plan or report:
**RETENTION:** **PERMANENT**

♦2.[573] **Master summary record** (log or master index) of youths served by youth service program:
**RETENTION:** 15 years

3.[574] **Individual client consultation case file**:
**RETENTION:** 6 years, or 3 years after individual attains age 18, whichever is longer

4.[575] **Individual client employment placement records**, including but not limited to master index card, job order form, and periodic statistical report:
**RETENTION:** 3 years

♦5.[877] **Youth court case files**, documenting the operation of youth courts, including but not limited to records of cases heard by the courts; forms signed by defendants, their guardians, and youth court staff; records concerning completion of sentence requirements, such as community service; and case notes of contacts made in reference to a defendant's case:
**RETENTION:** 6 years after case closed or 3 years after individual attains age 18, whichever is longer

# Item Number Index

*Note: Item numbers are bracketed, followed by page numbers. Items removed from the 1993 or 2002 editions are shown as "deleted" or as "See [item number]" when combined with other items in the 2006 edition.*


| Item | Page |
|---|---|
| [1] | 1 |
| [2] | 1 |
| [3] | 1-2 |
| [4] | 2 |
| [5] | 2 |
| [6] | 2 |
| [7] | 2 |
| [8] | 2 |
| [9] | 2-3 |
| [10] | 3 |
| [11] | 3-4 |
| [12] | 4 |
| [13] | 4 |
| [14] | *See* [12] |
| [15] | 5 |
| [16] | 5-6 |
| [17] | 6 |
| [18] | 6 |
| [19] | 6 |
| [20] | 6 |
| [21] | 6 |
| [22] | 6 |
| [23] | 6-7 |
| [24] | 7 |
| [25] | 7 |
| [26] | 7 |
| [27] | 7 |
| [28] | 7 |
| [29] | 7-8 |
| [30] | 8 |
| [31] | 8 |
| [32] | 8 |
| [33] | 5 |
| [34] | 10 |
| [35] | 10 |
| [36] | 10 |
| [37] | 10 |
| [38] | 10-11 |
| [39] | 11 |
| [40] | 11 |
| [41] | 12 |
| [42] | 12 |
| [43] | 12 |
| [44] | 12 |
| [45] | 12 |
| [46] | 85 |
| [47] | *See* [46] |
| [48] | *See* [47] |
| [49] | 85-86 |
| [50] | 86 |
| [51] | 86 |
| [52] | 86 |
| [53] | 23 |
| [54] | 23-24 |
| [55] | 24 |
| [56] | 24 |
| [57] | *See* [53] |
| [58] | 30 |
| [59] | 24-25 |
| [60] | 33a |
| [61] | deleted |
| [62] | deleted |
| [63] | deleted |
| [64] | *See* [10] |
| [65] | 25 |
| [66] | 25 |
| [67] | 26 |
| [68] | *See* [70b] |
| [69] | 30 |
| [70] | 26 |
| [71] | 33e |
| [72] | 27 |
| [73] | 27 |
| [74] | 27 |
| [75] | 27 |
| [76] | 27 |
| [77] | *See* [283] |
| [78] | 27 |
| [79] | 28 |
| [80] | *See* [449] |
| [81] | 28 |
| [82] | *See* [284] |
| [83] | *See* [285] |
| [84] | 28 |
| [85] | 28 |
| [86] | 28-29 |
| [87] | 29 |
| [88] through [100] | deleted |
| [101] | 27 |
| [102] | 29 |
| [103] | *See* [102] |
| [104] | 29 |
| [105] | 29 |
| [106] | 29 |
| [107] | 29 |
| [108] | 29 |
| [109] | 29 |
| [110] | 30 |
| [111] | *See* [110] |
| [112] | 30 |
| [113] | 30 |
| [114] | deleted |
| [115] | 30 |
| [116] | *See* [58] |
| [117] | 33e |
| [118] | 30 |
| [119] | 33a |
| [120] | *See* [121a] |
| [121] | 33b |
| [122] | 33c-33d |
| [123] | 33d |
| [124] | 32-33 |
| [125] | 33d-33e |
| [126] | 34 |
| [127] | 34 |
| [128] | 34-35a |
| [129] | 36 |
| [130] | 36 |
| [131] | 36 |
| [132] | 36 |
| [133] | 36-37 |
| [134] | 37 |
| [135] | 40 |
| [136] | 40 |
| [137] | 41 |
| [138] | 41 |
| [139] | 46 |
| [140] | 46 |
| [141] | 46 |
| [142] | 47 |
| [143] | 47 |
| [144] | 47 |
| [145] | 47 |
| [146] | 47 |
| [147] | 47 |
| [148] | 48 |
| [149] | 48 |
| [150] | 48 |
| [151] | 49 |
| [152] | 49 |
| [153] | 49 |
| [154] | 50 |
| [155] | 50 |
| [156] | 50 |
| [157] | 50 |
| [158] | 50 |
| [159] | 51 |
| [160] | 51 |
| [161] | 51 |
| [162] | 51 |
| [163] | deleted |
| [164] | deleted |
| [165] | deleted |
| [166] | deleted |
| [167] | 62 |
| [168] | 63 |
| [169] | 63 |
| [170] | 64 |
| [171] | 63 |
| [172] | 63 |
| [173] | 64 |
| [174] | deleted |
| [175] | deleted |
| [176] | deleted |
| [177] | 140 |
| [178] | 140-41 |
| [179] | 141 |
| [180] | 141-42 |
| [181] | 66 |
| [182] | *See* [181] |
| [183] | 66 |
| [184] | 67 |
| [185] | 68 |
| [186] | 68 |
| [187] | 69 |
| [188] | 69-70 |
| [189] | 70-71 |
| [190] | 76-77 |
| [191] | 77 |
| [192] | 77-78 |
| [193] | 78 |
| [194] | 78 |
| [195] | 80 |
| [196] | 80 |
| [197] | 80 |
| [198] | 82 |
| [199] | 87 |
| [200] | 87-88 |

[201] 88
[202] 88
[203] 88
[204] 88
[205] 88
[206] 88
[207] 88
[208] 88
[209] 88-89
[210] 89
[211] 89
[212] 89
[213] 89
[214] 83
[215] 83
[216] 83
[217] 83
[218] 83-84
[219] 84
[220] 84
[221] 84
[222] 84
[223] 84
[224] 84-85
[225] 85
[226] 85
[227] 85
[228] 85
[229] 86
[230] *See* [229]
[231] 86
[232] 87
[233] 87
[234] 87
[235] 87
[236] 87
[237] 89
[238] 95
[239] 95
[240] 95
[241] 95
[242] 95
[243] 95
[244] 98
[245] 98
[246] 99
[247] 99
[248] 99
[249] 99-100
[250] 100
[251] 100
[252] 100
[253] 100
[254] 101
[255] 101
[256] 101
[257] 101
[258] 101
[259] 101
[260] 101
[261] 101
[262] 102
[263] 103
[264] 103
[265] 103
[266] 103
[267] 103
[268] 103
[269] 103
[270] 103
[271] 103
[272] 104
[273] 104
[274] 104
[275] 104
[276] 105
[277] 105
[278] 118
[279] 35a
[280] 105
[281] 105
[282] 106
[283] 106-07
[284] 109
[285] 109
[286] 110
[287] 110
[288] 110
[289] 110
[290] 111
[291] 90-91
[292] 91
[293] 91
[294] 91
[295] 91
[296] 91
[297] 91
[298] 92
[299] 92
[300] 92
[301] 92
[302] 92
[303] 92
[304] 92
[305] 92
[306] 92-93
[307] 93
[308] 93
[309] 93
[310] 112
[311] 112
[312] 112
[313] 112-13
[314] 113
[315] 113
[316] 113
[317] 113
[318] 114
[319] 114
[320] 114
[321] 114-15
[322] 115
[323] 115
[324] 115
[325] 115-16
[326] 116
[327] 116-17
[328] 117
[329] 117
[330] 117-18
[331] 121
[332] 121
[333] 121-22
[334] 122
[335] 122
[336] 122
[337] 122-23
[338] 124
[339] 123-24
[340] 18
[341] 19
[342] 19
[343] 19
[344] 19-20
[345] 20-21
[346] 125
[347] 125
[348] 125
[349] 126
[350] 126
[351] 126
[352] 126
[353] 127
[354] 127
[355] 127
[356] 128
[357] 128
[358] 132
[359] 128
[360] 128
[361] 129
[362] 129
[363] 129
[364] 129
[365] 129
[366] 129
[367] 130
[368] 130
[369] 130
[370] 130
[371] 130
[372] 130
[373] 130-31
[374] 131
[375] 131
[376] 132
[377] 132
[378] 132
[379] 132-33
[380] 133
[381] 133
[382] 133
[383] 133-34
[384] 134
[385] 134
[386] 134-35
[387] 135
[388] 135-36
[389] 136
[390] 136-37
[391] 137
[392] 137
[393] 137
[394] 137-38
[395] 138
[396] 138-39
[397] 139
[398] 139
[399] 139
[400] 140
[401] 142
[402] 142
[403] 143
[404] deleted
[405] deleted
[406] 143
[407] 144
[408] 144
[409] 144-45
[410] 145
[411] 145
[412] 147
[413] 147
[414] 147
[415] 147-48
[416] 148-49
[417] 149
[418] 150-51
[419] 151
[420] 151
[421] 151
[422] 151
[423] 151
[424] 151-52
[425] 152
[426] 152-53
[427] 153
[428] 153
[429] 153-54
[430] 154
[431] 164-65
[432] 165
[433] 165-66
[434] *See* [800]
[435] 167
[436] *See* [801]

| | |
|---|---|
| [437] | *See* [800] |
| [438] | *See* [802] |
| [439] | *See* [808] |
| [440] | 170 |
| [441] | 171 |
| [442] | 172 |
| [443] | 172 |
| [444] | 172 |
| [445] | 172-73 |
| [446] | 173 |
| [447] | 173 |
| [448] | 173-74 |
| [449] | 174 |
| [450] | 174 |
| [451] | *See* [801] |
| [452] | *See* [805] |
| [453] | 174 |
| [454] | 174 |
| [455] | 174 |
| [456] | 174-75 |
| [457] | 175 |
| [458] | 175 |
| [459] | 186-87 |
| [460] | 176-77 |
| [461] | 177-79 |
| [462] | 180 |
| [463] | 187 |
| [464] | 187 |
| [465] | 180 |
| [466] | 175-76 |
| [467] | 187 |
| [468] | 187 |
| [469] | 180 |
| [470] | 188 |
| [471] | 166 |
| [472] | 187 |
| [473] | 189-90 |
| [474] | 184 |
| [475] | 184 |
| [476] | 184 |
| [477] | 184 |
| [478] | 184-85 |
| [479] | 185 |
| [480] | 185 |
| [481] | 182 |
| [482] | 182 |
| [483] | 182 |
| [484] | 182-83 |
| [485] | 182 |
| [486] | 183 |
| [487] | 180-81 |
| [488] | 183 |
| [489] | 183 |
| [490] | 181 |
| [491] | 181 |
| [492] | 181 |
| [493] | deleted |
| [494] | 181 |
| [495] | 181 |
| [496] | 93-94 |
| [497] | *See* [496] |
| [498] | 94 |
| [499] | 94 |
| [500] | 94 |
| [501] | 94 |
| [502] | 94 |
| [503] | *See* [501] |
| [504] | 94 |
| [505] | 94 |
| [506] | 192 |
| [507] | 192 |
| [508] | 192 |
| [509] | 192-93 |
| [510] | 193 |
| [511] | 193 |
| [512] | 194 |
| [513] | 194 |
| [514] | 197 |
| [515] | 198 |
| [516] | 198 |
| [517] | 198 |
| [518] | 198 |
| [519] | 198 |
| [520] | 198 |
| [521] | 198 |
| [522] | 198 |
| [523] | 199 |
| [524] | 199 |
| [525] | 200 |
| [526] | 200 |
| [527] | 200 |
| [528] | 200-01 |
| [529] | 201 |
| [530] | 201 |
| [531] | 201 |
| [532] | 202 |
| [533] | 202 |
| [534] | 202 |
| [535] | 202 |
| [536] | 203 |
| [537] | 203-04 |
| [538] | 204 |
| [539] | 205 |
| [540] | *See* [136] and [810] |
| [541] | 207 |
| [542] | 207 |
| [543] | 207 |
| [544] | 207-08 |
| [545] | 208 |
| [546] | 208-09 |
| [547] | 211 |
| [548] | 211 |
| [549] | 211 |
| [550] | 211 |
| [551] | 211-12 |
| [552] | 212 |
| [553] | 212-13 |
| [554] | *See* [553] |
| [555] | 213 |
| [556] | 213 |
| [557] | 213 |
| [558] | 213 |
| [559] | 213 |
| [560] | 214 |
| [561] | 214 |
| [562] | 214 |
| [563] | 215 |
| [564] | 216 |
| [565] | 218 |
| [566] | 220 |
| [567] | 220 |
| [568] | 220 |
| [569] | 220 |
| [570] | *See* [555] |
| [571] | *See* [551] |
| [572] | 221 |
| [573] | 221 |
| [574] | 221 |
| [575] | 221 |
| [576] | 21 |
| [577] | 21 |
| [578] | 21-22 |
| [579] | 22 |
| [580] | 22 |
| [581] | 8-9 |
| [582] | 9 |
| [583] | 9 |
| [584] | 9 |
| [585] | 9 |
| [586] | 13 |
| [587] | 13-14 |
| [588] | 14 |
| [589] | 15 |
| [590] | 15 |
| [591] | 15 |
| [592] | 16 |
| [593] | 16-17 |
| [594] | 17-18 |
| [595] | 18 |
| [596] | 18 |
| [597] | 18 |
| [598] | 19 |
| [599] | 21 |
| [600] | 21 |
| [601] | 37 |
| [602] | 37 |
| [603] | 37 |
| [604] | 37 |
| [605] | 37-38 |
| [606] | 38 |
| [607] | 38 |
| [608] | 38 |
| [609] | 38 |
| [610] | 38 |
| [611] | 38 |
| [612] | 38 |
| [613] | 38-39 |
| [614] | 39 |
| [615] | 39 |
| [616] | 39 |
| [617] | not used |
| [618] | 42 |
| [619] | 42 |
| [620] | 42 |
| [621] | 42 |
| [622] | 42 |
| [623] | 42 |
| [624] | 42 |
| [625] | 43 |
| [626] | 43 |
| [627] | 43 |
| [628] | 43 |
| [629] | 43 |
| [630] | 44 |
| [631] | 44 |
| [632] | 44 |
| [633] | 44 |
| [634] | 44 |
| [635] | 44 |
| [636] | 44 |
| [637] | 44 |
| [638] | 44 |
| [639] | 44 |
| [640] | 45 |
| [641] | 48 |
| [642] | 52 |
| [643] | 52 |
| [644] | 52 |
| [645] | 52 |
| [646] | 53 |
| [647] | 53 |
| [648] | 53-54 |
| [649] | 54 |
| [650] | 54 |
| [651] | 54 |
| [652] | 54 |
| [653] | 54-55 |
| [654] | 55 |
| [655] | 55 |
| [656] | 55 |
| [657] | 55-56 |
| [658] | 56 |
| [659] | 56 |
| [660] | 56 |
| [661] | 56 |
| [662] | 56-57 |
| [663] | 57 |
| [664] | 57-58 |
| [665] | 58 |
| [666] | 58 |
| [667] | 58 |
| [668] | 58 |
| [669] | 58 |
| [670] | 59 |
| [671] | 59 |

| | |
|---|---|
| [672] | 59 |
| [673] | 59 |
| [674] | 59-60 |
| [675] | 60 |
| [676] | 60 |
| [677] | 60 |
| [678] | 60 |
| [679] | 60-61 |
| [680] | 61 |
| [681] | 61 |
| [682] | 61 |
| [683] | 61 |
| [684] | 61 |
| [685] | 62 |
| [686] | 62 |
| [687] | 62 |
| [688] | 62 |
| [689] | 62 |
| [690] | 64 |
| [691] | 64-65 |
| [692] | 65 |
| [693] | 65-66 |
| [694] | 66-67 |
| [695] | 68 |
| [696] | 68-69 |
| [697] | 70 |
| [698] | 71-72 |
| [699] | 72 |
| [700] | 72 |
| [701] | 72-73 |
| [702] | 73 |
| [703] | 73-74 |
| [704] | 74 |
| [705] | 74-75 |
| [706] | 75 |
| [707] | 75 |
| [708] | 75-76 |
| [709] | 78 |
| [710] | 78 |
| [711] | 79 |
| [712] | 79 |
| [713] | 79 |
| [714] | 80-81 |
| [715] | 81 |
| [716] | 81 |
| [717] | 85 |
| [718] | 86 |
| [719] | 89 |
| [720] | 89 |
| [721] | 90 |
| [722] | 93 |
| [723] | 93 |
| [724] | 94 |
| [725] | 96 |
| [726] | 96 |
| [727] | 96 |
| [728] | 96-97 |
| [729] | 97 |
| [730] | 97 |
| [731] | 98 |
| [732] | 104 |
| [733] | 105-06 |
| [734] | 107 |
| [735] | 107 |
| [736] | 107 |
| [737] | 107 |
| [738] | 107-08 |
| [739] | 108 |
| [740] | 111 |
| [741] | 117 |
| [742] | 118 |
| [743] | 118 |
| [744] | 118-19 |
| [745] | 119 |
| [746] | 119-20 |
| [747] | 120 |
| [748] | 120 |
| [749] | 121 |
| [750] | 123 |
| [751] | 123 |
| [752] | 124 |
| [753] | 124 |
| [754] | 128 |
| [755] | 131 |
| [756] | 132 |
| [757] | 134 |
| [758] | 135 |
| [759] | 136 |
| [760] | 136 |
| [761] | 139-40 |
| [762] | 141 |
| [763] | 142 |
| [764] | 142-43 |
| [765] | 143 |
| [766] | 144 |
| [767] | 145-46 |
| [768] | 146 |
| [769] | 149-50 |
| [770] | 150 |
| [771] | 154-55 |
| [772] | deleted |
| [773] | 155 |
| [774] | 155-56 |
| [775] | 156 |
| [776] | 156 |
| [777] | 156 |
| [778] | 156 |
| [779] | 156 |
| [780] | 156 |
| [781] | 156 |
| [782] | 156 |
| [783] | 156-57 |
| [784] | 157 |
| [785] | 157 |
| [786] | 157 |
| [787] | 157-58 |
| [788] | 158 |
| [789] | 158 |
| [790] | 158-59 |
| [791] | 160-61 |
| [792] | 162 |
| [793] | 162 |
| [794] | 163 |
| [795] | 163 |
| [796] | 163-64 |
| [797] | 164 |
| [798] | 165 |
| [799] | 166 |
| [800] | 166-67 |
| [801] | 167-68 |
| [802] | 168 |
| [803] | 168-69 |
| [804] | 169 |
| [805] | 169-70 |
| [806] | 170 |
| [807] | 170 |
| [808] | 170 |
| [809] | 171 |
| [810] | 171-72 |
| [811] | 172 |
| [812] | 175 |
| [813] | 177 |
| [814] | 179 |
| [815] | 179 |
| [816] | 179 |
| [817] | 181 |
| [818] | 183 |
| [819] | 183 |
| [820] | 184 |
| [821] | 185 |
| [822] | 185 |
| [823] | 185 |
| [824] | 186 |
| [825] | 186 |
| [826] | 186 |
| [827] | 186 |
| [828] | 186 |
| [829] | 187 |
| [830] | 187-88 |
| [831] | 188 |
| [832] | 189 |
| [833] | 189 |
| [834] | 189 |
| [835] | 190 |
| [836] | 190 |
| [837] | 190 |
| [838] | 190 |
| [839] | 190 |
| [840] | 190-91 |
| [841] | 191 |
| [842] | 191 |
| [843] | 193 |
| [844] | 194 |
| [845] | 194 |
| [846] | 194 |
| [847] | 194 |
| [848] | 195 |
| [849] | 195 |
| [850] | 195 |
| [851] | 195 |
| [852] | 195 |
| [853] | 196 |
| [854] | 196 |
| [855] | 199 |
| [856] | 199 |
| [857] | 199 |
| [858] | 199 |
| [859] | 202 |
| [860] | 205 |
| [861] | 205 |
| [862] | 206 |
| [863] | 209 |
| [864] | 210-11 |
| [865] | 214 |
| [866] | 214-15 |
| [867] | 215-16 |
| [868] | 216-17 |
| [869] | 217 |
| [870] | 217 |
| [871] | 217 |
| [872] | 218 |
| [873] | 218-19 |
| [874] | 219 |
| [875] | 219 |
| [876] | 219-20 |
| [877] | 221 |
| [878] | 159-60 |
| [879] | 56 |
| [880] | 12 |
| [881] | 25 |
| [882] | 25 |
| [883] | 26 |
| [884] | 26 |
| [885] | 26 |
| [886] | 27 |
| [887] | 28 |
| [888] | 30 |
| [889] | 31 |
| [890] | 31 |
| [891] | 31-32 |
| [892] | 33 |
| [893] | 33 |
| [894] | 33-33a |
| [895] | 33b-33c |
| [896] | 33c |
| [897] | 33e |
| [898] | 33e |
| [899] | 33e |
| [900] | 33e |
| [901] | 33e |
| [902] | 33e |
| [903] | 34 |
| [904] | 34 |
| [905] | 94 |
| [906] | 105 |
| [907] | 108 |

[908] 111
[909] 111-11b
[910] 118
[911] 120
[912] 120
[913] 155
[914] 179
[915] 220

# Subject Index

*Note: Page numbers are in bold type. Item numbers are bracketed, and arranged numerically by their appearance in the schedule.*


4-H youth programs, **37** [604]
503 report, **73–74** [703b]
911 system. *See* E-911
1910, records predating, **ix-x**

Accession records
  library, **101** [255]
  museum, **109** [285]
Accidents and injuries
  airports, **205** [539]
  camps, **195** [851]
  disasters, **40** [136]
  driving record, **182–83** [484]
  emergency calls, **164–65** [431]
  fires, **172** [445a], **173** [446a]
  insurance reports, **99** [246–47]
  juvenile offenders, **176-77** [460]
  mines, **160** [791d]
  motor vehicles, **182** [482–83], **183** [819], **210-11** [864], **213** [555]
  prisoners, **184–85** [478]
  public employees, **117** [329, 741]
  reports, **8** [31]
  traffic safety, **212-13** [552–53]
Accounting
  billing, **89** [210–11]
  cash transactions, **88** [203–205]
  credit cards, **90** [721]
  encumbrances, **88** [206]
  ledgers and journals, **87–88** [199–202]
  past due accounts, **88** [207]
  receipts and disbursements, **88–89** [208–209], **89** [237]
  registers, **88** [202]
Accreditation
  airports, **205** [860]
  community college, **23** [53]
  public health facilities, **128** [356]
  public safety, **166** [471]
ADA. *See* Americans with Disabilities Act
Adding machine tapes, **88** [205]
  camp food management, **195** [852]
  claims and warrants, **87** [235]
Addresses. *See* Master Street Address Guide; Streets and addresses; Voter registration
Adirondack Park Agency
  project reviews, **108** [739]
Adoption of schedule, **vii, xii**
Adoptive children, medical records, **132–33** [379 Note]
Affidavits
  building and code compliance, **16–17** [593c]
  compliance requirements for bus drivers, **220** [915]
  minority and women-owned business, **106** [282]
Affirmative action, **113** [317c]
Agendas, **1–2** [3]. *See also specific subjects*
Agriculture. *See also* Cooperative Extension
  animal disease testing, **38** [608]
  dairy farms, **39** [614]
  district establishment or dissolution, **199** [856]
  soil testing, **38–39** [613]
  soils, **199** [523–24, 857]
  vehicles and equipment safety training, **39** [616]
  watershed, **199** [858]
  watershed farms, **39** [615]
Airports
  accreditation, **205** [860]
  fuel and chemicals, **206** [862]
  incidents, **205** [539]
  operation certification, **203** [536]
  schedules, **205** [861]
  security and safety, **203–204** [536–37]
  tenant files, **204** [538]
Alarms
  public safety, **167–68** [801]
  public transportation, **217** [869]
Alcohol and substance abuse
  patient records, **135** [387]
  testing, **26** [884], **118–20** [744–46], **187** [472]
Alcohol use in instruction, **30** [112]
Alcoholic beverage sales, **187** [467]
ALI. *See* Automatic Location Information
All points bulletins, **190** [835]
Ambulances, **170** [808, 440]
Americans with Disabilities Act (ADA) compliance, **156–57** [783–86]
ANI. *See* Automatic Number Information
Animal testing, **38** [608], **63** [168]
Annual reports, **6–7** [23]. *See also* Fiscal records; *specific subjects*
APBs. *See* All points bulletins
Application development. *See* Data processing
Applications. *See also* Approvals; Certificates and certification; Licensing; Permits
  access to records, **126** [351–52]
  business loans, **103** [263–65]
  camps, **194** [846]
  civil service, **122-23** [337, 751]
  discretionary planning reviews, **20–21** [345]
  economic development, **34-35a** [126-28, 903-04, 279]
  educational opportunity centers, **43** [627]

*(Applications, cont'd)*
employment, **112** [310]
exclusion of self-liquidating indebtedness, **85** [717]
grants, **4** [13a]
hazardous substances, **63** [172]
housing rehabilitation, **35** [128c]
job training, **127** [353–55]
minority and women-owned business, **106** [282]
petroleum storage, **154** [430]
private sewage disposal systems, **63** [172]
private water supply, **63** [172]
realty subdivisions, **63** [172]
recreational programs, **194** [845]
rental assistance, **35a** [279]
tax exemption, **104** [274]
training courses, **9** [585]
urban cultural parks, **96** [726]
veteran's benefits, **33b** [121d]
Appointment calendars, **6** [18]
Appointments
election officials, **47** [142]
public health facilities, **128** [359]
Apportionment, tax monies, **202** [533]
Appraisal. *See also* Property acquisition; Real property
eminent domain, **211** [548]
historical significance, **viii–ix**
insurance, **99** [246], **100** [253]
Approvals. *See also* Applications; Certificates and certification; Licensing; Permits
airport fuels and chemicals, **206** [862]
budgetary changes, **86** [52]
educational opportunity centers, **42** [618]
environmental facilities, **66** [181]
housing rehabilitation, **35** [128c]
public transportation, **218–19** [873]
radioactive materials, **140** [177]
real property acquisition, **147** [412]
Aquatic weed harvesting and control, **154–55** [771]
Arbitration, employee grievances, **115** [323]
Architects' plans, community development, **35a** [128k]
Architectural drawings
capital construction, **148–49** [416–17]
environmental facilities, **65–66** [693, 181]
highways and bridges, **208** [546a–b], **209** [863]
Archival records
administrative, **10–11** [38]
definition, **viii**
Archival research, **11** [40]
Arson, **173** [446], **176–77** [460]. *See also* Fire fighting and prevention
reports, **8** [32]
Artificial insemination, **145–46** [767]
Asbestos, **155** [773]
Assessment and valuation. *See* Valuation and assessment
Athletics
community college, **25–27** [66–67, 70, 101, 883-85]
recreational programs, **193** [511]
Attendance
educational opportunity centers, **43** [626, 628-29]
employee, **91** [296]
public safety personnel, **168** [802]
substance abuse training, **120** [747b]
Attorney's records, **12** [41-45, 880]. *See also specific subjects*
Auction lists, real property, **147** [414]
Audio data
emergency dispatch, **165–66** [433]
public transportation, **216** [867c]
tapes, **1** [2]
Audits
computer audit trail files, **58** [665]
Cooperative Extension, **37** [134]
effect on retention, **xv**
energy consumption, **62** [167]
financial audits, **83** [214–16]
non-fiscal, **6** [17]
payroll, **91** [292a]
radiology program safety, **142** [763]
Authorizations, NYSPIN use, **191** [841]
Automatic Location Information, **162** [793], **163** [795]
Automatic Number Information, **163** [795]
Average passenger occupancy, **218-19** [873a-b]
Awards. *See* Scholarships

Bacteriology slides, **138** [395f–g]
Ballots, **46** [140]
small business elections, **104** [272]
Banking and investment, **83–84** [217–23]
Bankruptcy lists, **202** [532]
Beaches. *See* Pools and beaches
Benchmark testing, automated systems, **54** [651]
Benefits. *See* Insurance; Personnel records
Betting. *See* Off-track betting
Bicycle licensing, **180–81** [487]
Bicycle paths, **219** [874]
Bids
bonds and notes, **84–85** [224]
canceled, **94** [905]
capital construction, **65–66** [693], **147–48** [415]
highway improvement, **207–208** [544]
minority and women-owned business, **106** [282]
property acquisition, **35** [128d-e]
purchasing, **94** [498]
Bill of lading, **94** [501]
Bill of sale, property, **89** [211]
Billing records, **89** [210–11]. *See also* Fiscal records; *specific subjects*
Biologics distribution and testing, **139** [397]
Birth records, **142** [401]

Blood collection and testing, **138–39** [395–96], **143** [406]
Board of Elections (New York City), **xii**
Board of Fire Underwriters' certificate, **51** [160]
Boats, police and fire vehicles. *See* Law enforcement, motor vehicles
Bonds, notes and securities, **xi–xii, 84–85** [Note, 224–28, 717]
  cancelled obligations, **xi–xii**
  court funds reports, **95** [241]
  depository agreements, **84** [220]
  destruction, **84** [Note]
  proof of publication, **2** [8a]
Bone marrow biopsies, **138** [395e]
Book selection, library materials, **101** [260]
Bridges. *See* Highways and bridges
Brucellosis tests, **38** [608a]
Budgets, **85–86** [46, 49–52, 718]. *See also specific subjects*
Building/property history systems, **13–14** [Note, 586–88]
Buildings. *See also* Construction; Housing
  asbestos removal, **155** [773]
  complaints and violations, **15** [589], **18** [597]
  condemnation and demolition, **18** [595]
  fire safety inspections, **15** [591]
  inspections, **13** [586], **15–16** [590–92]
  maintenance, **15** [590]
  permit issuance data files, **17–18** [594]
  permits, **13** [586], **16–17** [593], **21** [600 Note]
  plans, **16** [593 Note], **18–21** [340, 598, 341–45]
Bulk water distribution
  permits, **69** [187]
Bulletins, **3-4** [11]. *See also specific subjects*
Businesses. *See also* Local development corporation
  consultation services, **103** [266–67]
  economic development, **41** [137–38]
  grants, awards and gifts, **89** [720]
  minority- and women-owned, **106** [282]
Busses. *See* Public transportation
By-laws
  Cooperative Extension, **36** [129]
  small businesses, **103** [271]

Cable television, public access, **8-9** [581]
CAD. *See* Computer-aided dispatch; *See* Computer-assisted design
Calendars, **6** [18]
Calibration records
  alcohol and drug testing, **119** [744b]
  radar, **182** [485]
  radiologic equipment, **141** [179]
Campaign financing, **48** [149]
Camps. *See also* Recreational programs
  facilities, **194** [846], **195** [848–49]
  food management, **195–96** [852–53]
  health and safety, **195** [850–51]
  permits, **194** [846]
  scholarships, **196** [854]
Canceled checks, **83-84** [218]
Cancellation register, bond, **85** [225]
Cancelled obligations, **xi–xii**
Cancer studies, **143** [765]
Capital construction, **147–49** [415–17]. *See also specific types of facilities*
Capital improvement, highways and bridges, **209** [863]
Cash transactions, **88** [203–205]
  reports, **95** [238]
Casualties. *See also* Accidents and injuries; Incidents
  fires, **173** [446a]
Catalogs
  library, **101** [258]
  museums, **109** [284]
  park exhibits, **97** [729]
Censorship
  library materials, **101** [261]
  prisons, **186** [825]
Census
  firefighters, **174** [455]
  mines, **160-61** [791f]
  patients, **130** [371]
Census records, **105** [281]
Certificate of acceptance, elections, **47** [147]
Certificate of insurance, **18** [596a]
Certificates and certification. *See also* Approvals; Licensing; Permits
  airport operation, **203** [536]
  Board of Fire Underwriters, **51** [160]
  civil service eligibility, **122** [336]
  commercial pesticides and herbicides applicator, **156** [778–79]
  district laboratory supply stations, **139** [398]
  election notices, **47** [143]
  emergency medical services, **171** [441]
  equalization rates, **200** [525]
  housing rehabilitation, **35** [128c]
  insurance, **100** [252]
  landfill closures, **79** [713]
  missing or nonexistent records, **126** [352c]
  nondestruction of or intent to destroy firearms, **181** [492]
  payment of monies, **95** [242]
  petroleum storage, **154** [430]
  public health facilities, **128** [356]
  public transportation, **218** [565]
  rabies protection, **63** [168]
  rental assistance, **35a** [279]
  safety training, **39** [616]
  Small Business Administration, **103** [268]
  tax apportionment, **202** [533]
  vital records, **142** [401]
  voting machines and elections, **46** [141]
Certificates of occupancy, **13** [586], **16–18** [593-94]
Certification of laws, **2** [5]

CETA. *See* Comprehensive Employment and Training Act
Chargeback records, **94** [724]
Charitable donations, local development corporation, **104** [732]
Charters
community college, **30** [58]
government bodies, **105** [280]
library, **101** [254]
Charts and graphs
electric and gas utilities, **50** [156]
flowcharts, **53** [647]
noise level monitoring, **105** [277]
patient care, **133** [382]
Check registers, **88** [202]
Checks, **83-84** [218]
insurance, **99** [246]
Chemicals. *See also* Hazardous materials; Toxic substances
airports, **206** [862]
Children
child abuse, **107** [737], **189–90** [473]
day care, **108** [907]
health records, **xiv**
motor vehicle safety, **214-15** [866]
City University of New York (CUNY), **xi**
Civic centers. *See* Recreational programs
Civil service. *See also* Personnel records
approvals, **124** [753]
certification, **122** [336]
eligibility, **122** [336]
employees, **121** [749, 331–32]
examinations, **112** [310], **123–24** [339, 752]
hiring, **122-23** [337, 750]
job classification, **121-22** [333]
payroll report, **120** [748]
seniority list, **124** [338]
vacancies, **122** [334–35]
Claims
insurance, **99** [246]
Volunteer Firefighters Benefit Law cases, **99** [247]
workers' compensation, **99** [247]
Claims and warrants, **86–87** [229, 231–36]
Clean indoor air acts, violations, **64** [173]
Clinics. *See* Public health
Clinton-Essex Franklin Library System, **x**
Co-composting, wastewater treatment, **75** [706]
Code of ethics, employee attestations, **118** [743]
Codebooks, data processing, **53–54** [648]
Collection development
library materials, **101** [260]
museums, **109** [285]
Commissioner of Education
consent to dispose of records, **10** [34a]
Commissioner of Public Works
transportation funding recommendations, **211** [549]
Communicable diseases, **134** [385]
Communications logs, **7** [27]. *See also* Computer-aided dispatch; E-911; NYSPIN
emergency dispatch, **165** [432]
highway and bridge conditions, **211–12** [551]
Community colleges, **x**
academic affairs, **23–25** [53–56, 59, 881]
admissions, **33a** [60]
alumni, **25** [65, 882]
athletics, **25–27** [66–67, 70, 101, 883-85]
attendance records, **30** [888], **33b** [121b]
audits, degrees and grades, **33e** [898]
campus safety, **31-32** [891]
commencement, **31** [890]
continuing education, **33b-33c** [895]
counseling services, **27** [72–76, 886]
course listings, **29** [105]
curriculum, **23-24** [54-56]
development, **27** [78]
disabled students, **28** [79, 81]
discipline, student, **33e** [899]
establishment plan, **30** [58]
examinations, **30** [110]
financial aid, **28** [84, 887]
fire safety, **30** [118]
fiscal records, **28-29** [85–87]
food management, **33-33a** [893-94]
gifts and prizes, **33e** [897]
grade books, **29** [107]
housing, **29** [102, 104]
instruction, **29-30** [105–110, 112-13, 115, 888]
nursing education programs, **33e** [902]
placement, **27** [886]
president's office, **33a** [119]
recruitment, **33e** [900]
research, **25** [881]
Schedule CC-1, **vii–viii**
schedules, **29** [109]
student grievances, **33e** [117]
student organizations, **33** [892]
student records, **33a-33e** [60, 71, 117, 121-23, 125, 895-902]
syllabus, **29** [106]
Tuition Assistance Program (TAP) reports, **28** [887]
Community development, **34–35a** [126–28, 279, 903-04]
Community relations
complaints, **98** [244]
Community service, **35** [128f–g], **107** [734]
youth, **221** [877]
Complaints, **5** [33]
affirmative action, **113** [317c]
airport tenants, **204** [538]
Americans with Disabilities Act, **157** [785]
buildings, **15** [589–90], **18** [597]
camp food service, **196** [853]
citizen complaints, **105** [276]

equal employment, **98** [244]
human rights, **98** [244]
law enforcement, **176–77** [460]
legal, **12** [41]
library materials, **101** [261]
port facility, **125** [348]
prisoners, **184–85** [478]
sanitary code, **64** [173]
transportation structures, **211–12** [551]
Compliance plans, commuter traffic, **218–19** [873]
Comprehensive Employment and Training Act (CETA)
programs, **127** [353–55]
Comptroller. *See also* Office of the State Comptroller
debt-contracting power statement, **85** [226]
financial audits, **83** [214a]
self-liquidating indebtedness, **85** [717]
Computer operations. *See also* Data files; Data processing; Network services
audit trail files, **58** [665]
benchmark testing, **54** [651]
computer usage, **56** [658–59]
conversion plans, **55** [654]
data dictionaries and reports, **59** [672–73]
disaster preparedness, **55** [655]
file destruction reports, **59** [670]
hardware documentation, **54–5** [653]
help desk logs, **60** [675]
input documents, **56** [661]
macros and startup files, **56–57** [662]
operating procedures, **54** [652]
output data and reports, **58** [666–67]
print files, **57–58** [664]
program code, **54** [649–50]
scheduling, **56** [660]
security, **52** [644], **55–56** [657, 879]
software acquisition and review, **60** [676]
support services, **59–60** [674]
system backup files, **55** [656]
tape library, **58** [669], **59** [671]
user access files, **55–56** [657]
valid transaction files, **57** [663]
Computer-aided dispatch
communications records, **165–66** [432–33, 799]
emergency calls, **164–65** [431]
geographic information system, **165** [798]
hazardous materials, **169–70** [805]
incident data, **164** [797], **166** [799]
reports, **166** [799]
standard operating procedures, **170** [806]
Computer-assisted design, **148-49** [416-17], **208-09** [546, 863]
Confidential informants, **179** [914]
Confidentiality, **xvi–xvii**
Conservation
museums, **109** [285]
soil and water districts, **198–99** [515–24, 855–58]
Construction, **15-18** [589–97]. See also Buildings; Capital construction; Highways and bridges
disaster response, **40** [136]
environmental facilities, **65–66** [693]
highways and bridges, **213** [556–57]
new facilities, **14** [588a]
planning reviews, **19–20** [344]
utilities, **49** [152]
Consultation records
building planning reviews, **20** [344e]
zoning variance, **22** [578d]
Consultation services, **103** [266–67]
Contingency plans, environmental facilities, **69** [696c]
Contract negotiation, port facility, **125** [348]
Contract negotiations, public employees, **114-15** [321]
Contractors, **158** [789]. *See also* Vendors
financial and political interest disclosures, **105-06** [733]
Contracts, **2** [6]
airport tenants, **204** [538]
capital construction, **147–48** [415]
data processing, **52** [645]
educational opportunity centers, **42** [621]
environmental facilities, **65–66** [693]
hazardous waste collection, **77** [190c]
highways and bridges, **207–208** [544], **213** [559]
housing rehabilitation, **35** [128c]
purchasing, **94** [498]
recreational programs transportation, **194** [844]
vehicle towing, **183** [489]
Controlled burns, **175** [812]
Controlled substances. *See also* Alcohol and substance abuse
storage and distribution, **145** [410–11]
Cooperative Extension, **xi**. *See also* Agriculture
administrative, **36–37** [129–34, 601]
agricultural districts, **38** [612]
dairy farm businesses, **39** [614]
farm animal disease testing, **38** [608]
food and nutrition, **37–38** [602–607]
programs, **36–37** [133]
safety training, **39** [616]
senior services, **38** [609–10]
soil testing, **38–39** [613]
surplus food distribution, **38** [611]
watershed farmers, **39** [615]
Copyright records, **9** [583]
Correctional facilities, **185** [480]. *See also* Law enforcement; Public safety
administrative, **185** [480, 821]
capacity change, **186** [827]
census of prisoners, **185** [821]
commissary, **184** [475b]
dietary services, **185** [823]
facilities, **186** [827]
health and sanitation, **186** [824]

*(Correctional facilities, cont'd)*
incidents, **184–85** [478]
inmate work crews, **156** [782]
inspections, **185** [479]
mail review and censorship, **186** [825]
prisoner data, **184** [474, 820, 475]
prisoner exercise, **186** [826]
substitute jail order, **186** [828]
supervision and visits, **184** [476]
visitors, **185** [822]
work assignments, **184** [477]
youth detention, **221** [572]
Correspondence, **3** [10], **82** [198]. *See also specific subjects*
Court orders, **2** [5], **12** [41]
Court records. *See specific subjects*
Coverage of *MI-1*, **x–xi**
Credit cards, **90** [721]
Criminals and suspects, personal information, **179** [814]
Cultural parks, **96** [725]
Cytogenetic referrals, **136** [760]
Cytology. *See* Laboratory records

Data files. *See also* Computer operations; Data processing
buildings and property, **13** [586], **16** [592], **17–18** [594], **19** [598]
highways and bridges, **210–11** [864]
laboratory tests, **136** [759]
public health patients, **132** [756]
public safety, **168–69** [802–804]
public transportation, **215–17** [867-68]
solid waste management, **77** [191e]
street names and addresses, **13–14** [587]
tax assessment, **200** [527]
vehicle use, **152–53** [426]
zoning, **21** [600]
Data input and control, **56** [661]
Data processing. *See also* Computer operations; Data files; Network services
data administration, **59** [672–73]
general administration, **52** [642–45]
internet services, **61** [683–84]
network services, **60–61** [677–82]
systems and application development, **53–54** [646–51]
user support, **59–60** [674–76]
Data Protection Review Board (DPRB)
public health data, **130–31** [373]
Day care, child, **108** [907]
Death records, **142** [401]
Debt-contracting power statement
bonds, **85** [226]
DEC. *See* New York State Department of Environmental Conservation
Deeds
gifts and bequests, **106–107** [283]
real property acquisition, **147** [412]
real property transfers, **202** [859]
Deeds of sale. *See* Property acquisition
Demolition
disasters, **40** [136]
urban renewal, **35** [128d]
utilities, **49** [152]
Demonstration projects, solid waste management, **79** [711]
Dental records
clinics, **142–43** [764]
outpatients, **133** [381]
Deposit books and slips, **84** [221–23]
Depository agreements, **84** [220]
Destruction of records, **xvii–xviii, 10** [34]
Developmental disabilities. *See* Mental retardation recreational programs
Dietary services
prisons, **185** [823]
public health facilities, **130** [367]
Direct deposit records, **93** [722]
Directories
alumni, **25** [882]
minority and women-owned business, **106** [282]
Disabled persons
assistance, **105** [276]
community college, **28** [79, 81]
educational opportunity centers, **44** [638]
special bus transportation, **219** [875]
transportation, **218** [872]
Disaster preparedness and response, **40** [135–36]. *See also* Emergencies; Incidents
airports, **206** [862]
data processing systems, **55** [655]
fire safety, **174** [449]
Discharge monitoring. *See* Solid waste management facilities; Wastewater treatment plants
Discretionary planning reviews, **20–21** [345]
Disease indexes, **130** [370]. *See also* Communicable disease; *specific types*
Dissolution records
government bodies, **105** [280]
local development corporation, **104** [275]
Documentation
data processing, **53–54** [648]
hardware, **54-55** [653]
software development, **53** [647]
software manuals, **166** [Note]
technical program, **54** [650]
vehicle use data system, **152–53** [426]
Domestic violence, **187** [829]
Donors
community college, **27** [78]
local government, **106-07**, [283]
organ and tissue donation, **145–46** [767–68]
Dormitory Authority, **x**
Draft documents, **7** [26]

Drainage, soil conservation, **198** [516]
Drawings. *See* Architectural drawings; Specifications
Drinking water. *See also* Private water supply; Public water supply
lead and copper content, **155-56** [774]
Drivers, tour of duty reports, **217** [870]
Drivers' licenses, government employees, **118** [742]
Driving records, **182–83** [484]
Drugs and drug testing. *See* Alcohol and substance abuse; Controlled substances
Dues collection, local development corporation, **104** [273]
Duplicate records, **xiv, 6** [19]. *See also specific subjects.*
legal briefs, **12** [42]
Dwellings. *See* Buildings

E-311 system, **163** [794]
E-911. *See also* Computer-aided dispatch; Emergencies
automatic number location, **163** [795]
non-emergency records, **163** [794]
standard operating procedures, **170** [806]
street addresses, **162** [792]
system development, **163–64** [796]
telephone utility addresses, **162** [793]
E-mail, **xv**
Earnings record, **92** [301]
Echocardiograms, **133–34** [383]
Economic assessment, cultural parks, **96** [725]
Economic development, **34-35a** [126-28, 279, 903-04], **41** [137–38]
Economic opportunity, **98** [244–45, 731]
Education. *See* Community colleges; Training
Educational opportunity centers
administrative, **42** [619–21]
admissions, **43** [627]
class information, **43** [626], **44** [634–35]
counseling, **44** [630], **44** [637]
curriculum, **42** [623]
disabled students, **44** [638]
disciplinary records, **43-44** [628, 631, 633]
fiscal reports, **44** [639]
programs and course offerings, **42** [618], **42–43** [622–25]
radiation use, **45** [640]
student information, **43–44** [628–34], **44** [636]
EFNEP. *See* Expanded Food and Nutrition Education Program
EIS. *See* Environmental impact statements
EKG and EEG tracings, **133–34** [383]
Elections, **46–48** [139–50, 641]
Cooperative Extension, **36** [131]
small businesses, **104** [272]
Electric and gas utilities, **49–51** [151–62]. *See also* Energy
Board of Fire Underwriters' certificate, **51** [160]
charts and graphs, **50** [156]
construction, demolition and retirement, **49** [152]
ledgers, **50** [155], **50** [158]
meters, **51** [161–62]
municipal lighting, **50** [156]
permits, **49** [151]
power generation reports, **49** [153a]
service interruptions and repair, **49** [153c], **51** [159]
station and system components, **50** [154]
Electric substations, transformers, power poles, **50** [154]
Electronic data processing. *See* Data processing
Electronic mail, **xv**
Electronic records, **xv**. *See also* Data files; *specific subjects*
Emergencies. *See also* Computer-aided dispatch; Disaster preparedness and response; E-911; Fire fighting and prevention
airport fuels and chemicals, **206** [862]
disasters, **40** [136]
environmental facilities, **68–69** [696]
personnel training, **167** [435]
public transportation, **217** [869]
solid waste management facilities, **75–76** [708]
wastewater treatment, **73–74** [703]
Emergency medical services, **170–72** [808, 440–41, 809–11]. *See also* E-911; Public Safety
accreditation, **166** [471]
Emergency plans. *See also* Disaster preparedness and response
public water supplies, **72** [700]
Emergency rooms, original entry records, **133** [382]
Eminent domain
property acquisition, **35** [128d]
transportation, **211** [548]
Employee Commute Option, **218–19** [873]
Employees. *See also* Civil service; Comprehensive Employment and Training Act; Personnel records
applications for training, **9** [585]
assistance program, **120** [912]
attestations, **118** [743]
Cooperative Extension, **36** [131]
mines, **160** [791f]
payroll (*See* Payroll)
Employment. *See also* Personnel records; Youth employment programs
civil service, **122-23** [337, 750]
Employment Eligibility Verification Form I-9, **120** [911]
Encumbrances, **88** [202], **88** [206]
Endowments, **106–107** [283]
Energy. *See also* Electric and gas utilities
audits, **62** [167]
consumption, **62** [167], **159–60** [878]
efficiency testing, **62** [685]
Engineer's files

*(Engineer's files, cont'd)*
highways and bridges, **214** [560]
planning review files, **19–20** [344]
Enrollment. *See also* Community colleges
Cooperative Extension, **36** [130]
county board of elections, **48** [150]
educational opportunity center approvals, **42** [620]
training courses, **9** [584]
Environmental assessment
public facilities, **159–60** [878]
public transportation, **215–16** [867]
watershed farms, **39** [615], **199** [858]
Environmental disturbances, **63** [169]
Environmental facilities
alarms, problems and emergencies, **68–69** [696]
automated operating systems, **66–67** [694], **68** [695]
capital construction, **65–66** [693]
charts and graphs, **68** [185]
inspections and maintenance, **66** [183]
monitoring, **73–74** [703]
operator qualifications, **68** [186]
permits, **66** [181]
reports, **65** [692]
sensor data, **67** [694a]
sketches, **66** [183]
Environmental health. *See also* Public water supply; Solid waste management
laboratory testing, **136** [390a], **136** [759c], **140** [400]
property acquisition, **63** [171]
Environmental impact statements, **19–20** [344–45], **80** [196]
capital construction, **147–48** [415]
conservation districts, **199** [855]
environmental facilities, **65–66** [693]
highway improvement, **207** [544a]
mines, **160–61** [791]
Environmental management, **80–81** [195–97, 714–16]
spills, **63–64** [172, 170]
Environmental Protection Agency (EPA)
reports, **69–70** [188], **73–74** [703b]
EPA. *See* Environmental Protection Agency
Equal employment opportunity, **113** [317]
complaints, **98** [244]
Equalization rate records, **200** [525]
Equipment and maintenance
disabled students, **28** [79]
emergency equipment, **166–67** [800]
fire-fighting, **172** [445a]
laboratory, **137** [391]
Escrow accounts, **201** [531]
Estates, gifts and bequests, **106–107** [283]
Ethnicity. *See also* Human rights
community college, **32-33** [124]
educational opportunity centers, **42** [620]
Examinations. *See also* Community colleges
civil service, **123–24** [751, 339]
educational opportunity centers, **43** [628b], **44** [636]
Executive's office, **82** [198]
Exemptions, hazardous materials, **169–70** [805]
Exhibits
cultural parks, **96** [725], **97** [729]
museums, **109** [284]
Expanded Food and Nutrition Education Program (EFNEP), **37-38** [602–606]

FAA. *See* Federal Aviation Administration
Facilities, inventories, **151** [421]
False alarms, **167** [801c]
airport security, **204** [537c]
fires, **172–73** [445b]
Family Educational Rights and Privacy Act (FERPA), **33c-33d** [122]
Farms. *See* Agriculture
Fashion Institute of Technology (FIT), **xi**
FCC. *See* Federal Communications Commission
Feasibility studies
businesses, **103** [263–65]
capital construction, **65** [693a], **147-48** [415a]
E-911, **163** [796a]
economic development, **41** [137–38]
highway improvement, **207–208** [544]
public health facilities, **129** [366]
visitor centers, **96** [727]
Federal aid, **86** [231]
Federal assistance, urban development, **34** [127]
Federal Aviation Administration (FAA)
certification and inspection, **203** [536]
schedules, **205** [861]
Federal Communications Commission (FCC)
licensing, **153–54** [429]
Federal projects, planning records, **20-21** [345]
FERPA. *See* Family Educational Rights and Privacy Act
Fetal death, **142** [401 Note]
FHA records
community development, **35** [128e]
Field trips, recreational programs, **193** [843]
Films, medical records, **133–34** [383]
Financial disclosures, **105-06** [906, 733], **112-13** [313]
Finding aids, **11** [39]
computer systems, **58** [668]
Fines. *See* Violations
Fingerprints, **177–79** [461]
Fire fighting and prevention, **151** [420], **174** [449]. *See also* Public safety
accreditation, **166** [471]
controlled burns, **175** [812]
fire safety, **173–74** [448–49]
firefighters, **174–75** [454–57]
fund-raising, **174** [453]

hydrants, **174** [450]
incidents and response, **172–73** [442–45]
inspections, **13** [586], **15** [591], **30** [118], **173–74** [448]
investigations, **173** [446]
mutual aid, **173** [447]
training, **167** [435]
Fire pump chlorinators, permits, **69** [187]
Firearms, **176–77** [460, 813]
disposition, **181** [492]
law enforcement personnel, **181** [494–95]
law enforcement property records, **180** [462]
licensing, **181** [490]
missing or stolen, **181** [817]
safety training, **39** [616]
sales, **181** [491]
Firemen's Retirement System payroll reports, **92** [305]
Firewall logs, **56** [879]
Fiscal records. *See also* Taxes; *specific subjects*
athletic scholarships, **26** [67]
audits, **83** [214–16]
banking and investment, **83–84** [217–23]
bonds and notes, **84–85** [224–28, 717]
budgets, , **85–86** [46, 49–52, 718]
capital construction, **147–48** [415]
claims and warrants, **86–87** [229, 231–36]
community college, **28-29** [85–87]
educational opportunity centers, **44** [639]
elections, **48** [149]
grants, **4** [13b]
highway improvement, **207–208** [544–45]
off-track betting, **110** [286]
payroll, **90–93** [291–309, 722–23]
purchasing, **93-94** [496, 498–502, 504–505, 724, 905]
reports, **95** [238–43]
scholarships, **33d-33e** [125]
Small Business Administration reports, **103** [269]
soil and water conservation, **198** [519]
Fiscal reports
environmental facilities, **65–66** [693]
Fisheries and fish stocking, **80–81** [714]
Flood control, **81** [716]
Flowcharts, data processing, **53** [647]
Fluoridation, approvals, **66** [181]
permits, **69** [187]
FOIL. *See* Freedom of Information Law
Food management. *See also* Dietary services
camps, **195** [852]
community colleges, **33-33a** [893-94]
Foreclosures, urban development, **35** [128e]
Forensics
data file, **136** [759b]
laboratory tests, **136** [390a], **139–40** [761]
reports, **137** [393]
Freedom of Information Law (FOIL), **xix, xvi–xvii**
required lists and registers, **126** [349–52]
Fuel bills, weatherization files, **62** [685]
Fuels
consumption, **62** [167], **153** [427]
jet fuel, **206** [862]
marinas, **192** [507d]
petroleum storage, **154** [430]
Fund raising, fire departments, **174** [453]

Games of chance. *See* Off-track betting
Gas analysis and measurement, **49** [153d–f], **50** [156c–d]
Gas pipelines, **50** [154]
GED. *See* High school equivalency
Geographic Information System (GIS), **153** [426e]
emergency dispatch, **165** [798]
highway operations, **211** [864e]
Geographic reference files, **19** [343]
soil and water conservation, **198** [522]
Gifts and bequests, **106–107** [283]
GIS. *See* Geographic Information System
Government establishment and reorganization, **105** [280]
Grants
housing rehabilitation, **35** [128c]
program files, **4** [13]
Grants, awards and gifts, **89** [720]
Grievances. *See also* Complaints
educational opportunity centers, **44** [632]
employees, **115** [323]
Guarantees and warranties, **94** [500]
Guns. *See* Firearms

Handicapped parking, **214** [562]
Hazardous buildings, maintenance and inspection, **15** [590]
Hazardous materials. *See also* Material safety data sheets
applications and investigations, **63–64** [172, 170]
public safety, **169–70** [805]
waste collection, **64–65** [691], **76–77** [190]
waste generation, **155** [913]
Health districts, **x**
Health professionals, record keeping, **xiv**
Health records
Indian reservations, **133** [381]
prisoners, **184** [475]
record keeping, **xiv**
Hearings. *See* Public hearings
Heating and cooling
energy use, **62** [167]
weatherization, **62** [685]
Help desk logs, **60** [675]
Herbicides. *See* Pesticides and herbicides
Heritage areas, **96–97** [725–30]
High school equivalency, **43** [628b]

Higher Education General Information Survey (HEGIS), **24** [55]
Highway Superintendent, funding recommendations, **211** [549]
Highways and bridges
bus drivers reports, **217** [870]
capital improvement, **207–208** [544–45], **209** [863]
condition, **211–12** [551]
construction and closings, **213** [556–57]
differing jurisdictions, **214** [865]
engineer's files, **214** [560]
funding recommendations, **211** [549]
history, **207** [543]
inventories and status reports, **211** [550]
maintenance and repair, **207** [541], **213** [559]
management, **210–11** [864]
official maps, photographs, and drawings, **208-09** [546]
planning and design, **208** [546c–d]
property acquisition, **211** [548]
right-of-way, **211** [547]
snow and ice removal, **207** [542]
toll roads and bridges, **220** [566–69]
turnpike companies, **219–20** [876]
Historic structures, capital construction, **148** [415 Note]
Historic zones. *See* Heritage areas
Historical significance of records, **viii–ix**. *See also specific types of records*
HIV screening, **144–45** [409f]
Holter monitors, **133** [383 Note]
Hospitals. *See* Patient care; Public health
Housing
rehabilitation, **34** [126]
vacant home checks, **187** [464]
Housing authorities, records disposition, **xi**
Housing demolition, property acquisition, **35** [128d]
Human immunodeficiency virus. *See* HIV
Human rights, **98** [244–45, 731]
Hydrants, **174** [450]
Hydrological monitoring, public water supply, **71–72** [698–99]
Hypodermic syringes, educational use, **30** [115]

I-9 Employment Eligibility Verification Form, **120** [911]
Identification cards, **7–8** [29], **113** [316]
Identification records
airport employees, **204** [538d]
civil service, **123** [339c]
employees, **113** [316]
law enforcement, **177–79** [461], **180** [462b, 465]
Illnesses, government employees, **117–18** [329, 741, 330, 910]
Immunization, **144** [407]
Improvement districts, **x**
Incarceration. *See* Correctional facilities
Incidents. *See also* Accidents and injuries; Disaster preparedness and response; Emergencies; Fire fighting and prevention; Law enforcement
airports, **205** [539]
public transportation, **216** [867c Note], **217** [869]
Income documentation, weatherization, **62** [685]
Income tax forms. *See* Taxes
Incorporation
government bodies, **105** [280]
library, **101** [254]
small businesses, **103** [271]
Indexes. *See specific subjects*
Industrial development, **41** [137–38]
Industrial waste
permits, **73** [701b]
pretreatment, **73** [702]
reports, **74** [703e]
Infection control, public health facilities, **131** [375]
Information resources management plans, **52** [643]
Injuries. *See* Accidents and injuries
Inmate work crews, **156** [782]. *See also* Correctional facilities
Inspection
environmental facilities, **66** [183]
public transportation, **218** [565]
Inspections
airport operation, **203–04** [536–37]
alarms, **167** [801a]
Americans with Disabilities Act compliance, **157** [784]
buildings, **13** [586], **15–16** [589–92], **16–17** [593c]
camps, **195-96** [848, 853]
capital construction, **147–48** [415]
child safety, **214-15** [866]
community service projects, **35** [128f]
elections, **46** [140d–e]
electric and gas utilities, **49** [152–53]
environmental facilities, **65–66** [693, 181]
farms, **38** [608]
fire safety, **15** [591], **30** [118], **151** [420], **173–74** [448]
highways and bridges, **207** [544a], **210–11** [864], **213** [558]
landfill closures, **79** [713]
petroleum storage, **154** [430]
prisons, **185** [479]
public health facilities, **128** [357]
public property, **152** [424f]
radiologic equipment, **141** [179]
sanitary code, **64** [173]
solid waste management, **75–76** [708], **79** [712]
wastewater treatment, **73–74** [703]
workplace safety, **115** [324]
Installation records, **5-6** [16]
Insurance, **99–100** [246–53]

contractors, **18** [596]
employee benefits, **114** [318–19]
firefighters, **175** [457]
liability, **99** [Note]
policies, **99–100** [249–51]
public health facilities, **129** [363–64]
recreational programs transportation, **194** [844]
solid waste management facility, **77–78** [192]
title insurance, **100** [251]
unemployment, **114** [319]
Interagency referral forms, weatherization, **62** [689]
Interlibrary loan, **101** [257]
Internal information records, **6** [18]
Internet, **3–4** [11b], **61** [683–684]. *See also* E-mail
Intrinsic value, **ix-x**
Inventories
chemicals and hazardous substances, **115–16** [325a]
cultural parks, **96** [725]
maintenance and repair, **150** [769g]
museums, **109** [284], **109** [285]
natural resources, **80** [195]
network circuits, **60** [678]
park exhibits, **97** [729]
property, **151** [421]
records, **10** [35]
supplies, **151** [422]
Investigations
criminal investigations, **164** [431a Note]
elections, **48** [148]
fires, **151** [420], **173** [446]
hazardous substances, **63–64** [172, 170]
internal, **6** [17]
laboratory data file, **137-38** [394]
petroleum spills, **63–64** [172, 170]
public safety data files, **169** [804]
rabies and dangerous animal contact, **63** [168c]
Invoices, **94** [501]
Irrigation, soil conservation, **198** [516]
Issues of public visibility, policies, **2–3** [9a]

Job actions, **115** [322]
Job classification
civil service, **121-22** [333]
public works projects, **158** [789]
Job placement, **105** [276]
Job postings, **122** [334–35]
Job Training Partnership Act programs, **127** [353–55]

Labor costs classification, **91** [293]
Labor Law reports, contractors, **158** [789]
Labor management meetings, **114** [320]
Laboratory records, **135–36** [388, 759, 389]
biologics receipt and distribution, **139** [397]
blood collection and use, **138-39** [395–96]
district supply station, **139** [398]
equipment, **137** [391–92]
general, **135–37** [388, 759, 389, 760, 390]
lead poisoning, **143** [406]
protocols, **137** [393]
referrals, **136** [760]
reports and studies, **137–38** [394]
specimens, **138–39** [395–96], **138** [395]
supply station, **139** [398]
test results, **139–40** [399, 761, 400]
worksheets, **136–37** [390]
Lake George Commission project reviews, **108** [739]
Lake, river, stream and watershed studies, **81** [715]
Landfills. *See also* Solid waste management
closure, **79** [713]
construction and improvement, **65–66** [693]
solid waste management facilities, **75–76** [708]
Landlord agreements, weatherization, **62** [685]
Landowners, soil and water conservation, **198** [517, 519]
Law enforcement. *See also* Correctional facilities; Firearms; Public safety
accreditation, **166** [471]
child abuse, **189–90** [473]
cumulative arrest information, **179** [815]
domestic violence, **187** [829]
escort service, **187** [463]
firearms, **181** [490–92, 494–95, 817]
incidents, **175–77** [458, 466, 460, 813]
information data files, **177–79** [461]
missing persons, **188** [470]
motor vehicles, **182–83** [481, 485, 482–84, 486, 488–89, 818–19]
NYSPIN, **190–91** [835–42]
order of protection, **189** [833]
parolees and sex offenders, **187–88** [468, 830–31]
personal information data files, **179** [814]
personal property, **180-81** [462, 465, 469, 487]
profiling reports, **179** [816]
training, **167** [435]
vacant homes, **187** [464]
videotapes, **189** [832, 834]
warrants and subpoenas, **186–87** [459]
watercraft (*See* Law enforcement, motor vehicles)
Laws, local, **2** [5]
Leachate
disposal, **78** [709]
wastewater treatment, **74–75** [705]
Lead and copper
poisoning, **143** [406]
water supply remediation, **155-56** [774]
Leases, **2** [6]
Ledgers and journals, **87–88** [199–201]
electric and gas utilities, **50** [158]
Legal actions. *See also specific subjects*
affect on retention period, **xiv**
Legal agreements, **2** [6]
Legal cases, **12** [41–45]

Legal documents, educational opportunity centers, **42** [621]
Legal Identity Report, mines, **160** [791c]
Legal notices, **2** [8]
Legal opinions, **2** [4]
Legal precedents, **3** [10a]
Liability insurance, **100** [250]
  contractors, **18** [596]
Library. *See* Public libraries
Licensing. *See also* Approvals; Certificates and certification; Permits
  bicycles, **180–81** [487]
  driving record, **182–83** [484]
  Federal Communications Commission, **153–54** [429]
  firearms, **181** [490]
  recreational facilities, **192** [507]
Lists and registers, **7** [25]
  bond purchasers, **84–85** [224]
  building and property systems, **14** [588]
  civil service seniority, **124** [338]
  commuters, **219** [873d]
  government employees, **116–17** [327]
  invoice registers, **94** [502]
  job action participants, **115** [322]
  minority and women-owned business, **106** [282]
  permissible medical procedures, **128** [356]
  private radio locations, **154** [429d]
  proof of residency, **33d** [123]
  purchase orders, claims and contracts, **94** [504]
  students, **29** [108], **44** [634]
  tax-related data, **202** [532]
  underground facilities, **158** [789]
  visitors, **150–51** [418]
  walking tour participants, **96–97** [728]
Loans
  businesses, **103** [263–65, 270]
  economic development, **34** [128a], **41** [137–38]
  housing rehabilitation, **35** [128c]
  library borrowing, **101** [257]
  museums, **109** [284-85]
  park exhibits, **97** [729]
  student loan disclosures, **124** [752]
Lobbying, **107-08** [738]
Local development corporation, **xi, 103–104** [263-75, 732]
Local government cable television, **9** [581c]
Local history, **107** [735 Note]
Logs, **6** [20]
  airport security, **204** [537c]
  ambulance use, **170** [440]
  archives research and users, **11** [40]
  buildings and property, **14** [588b], **15** [589], **16-17** [593]
  certificates of occupancy, **16** [593b]
  communication, **7** [27]
  complaints and petitions, **5** [33a]
  legal cases, **12** [41, 43]
  maintenance and repair, **5-6** [16]
  NYSPIN
    **190-91** [840]
  periodic activity, **6** [22]
  planning and zoning reviews, **19** [342]
  soil and water conservation, **198** [521]
  telephone calls, **7** [28]
Long-term care
  medical records, **133** [380]
  screening records, **132** [378]
Lottery ticket sales, **111** [740]
Low income housing assistance, **35a** [279]

Macros. *See* Data files
Mailing lists, **6** [21]
Maintenance and repair, **5-6** [16]
  bus drivers reports, **217** [870]
  drainage systems, **64** [690]
  electric and gas service, **49** [153c]
  emergency equipment, **166–67** [800]
  energy use monitoring, **159–60** [878]
  environmental facilities, **66** [183]
  fire hydrants, **174** [450]
  highways and bridges, **207** [541], **210–11** [864], **213** [559]
  housing, **15** [590]
  installations, **5-6** [16]
  laboratory equipment, **137** [391]
  public property, **149–50** [769–70], **151–52** [424]
  public transportation, **219** [873c]
Mammograms, **133–34** [383 Note]. *See also* Medical screening
Manager's office, **82** [198]
Managing records disposition, **xvii–xviii**
Manpower Development and Training Act programs, **127** [353–55]
Manuals
  emergency training, **167** [435]
  procedures, **2–3** [9]
Maps
  alarm locations, **168** [801d]
  buildings and property, **13** [586], **16** [592 Note, 593b], **21** [600 Note]
  capital construction, **148–49** [416–17]
  disaster preparedness, **40** [135]
  discretionary planning reviews, **20-21** [345]
  E-911 development, **163–64** [796]
  environmental facilities, **65–66** [693, 181]
  flood insurance, **81** [716]
  gifts and bequests, **106–107** [283]
  hazardous materials, **169–70** [805]
  highways and bridges, **208** [546a–b], **209** [863], **211** [864f]
  mines, **160–61** [791]
  mutual aid, **173** [447]
  natural resources, **80** [195]
  planning, **19** [341], **19–20** [344]

port facility, **125** [346]
property acquisition, **35** [128d]
public transportation, **215** [563]
right-of-way, **211** [547]
shoreline, **81** [716]
soil types, **199** [524]
tax maps, **200** [526]
traffic reports and studies, **212** [552]
voter districts, **48** [150]
walking tours, **96–97** [728]
watershed studies, **81** [715]
zoning, **21** [576]
Marinas, permits, **192** [507]
Master Street Address Guide (MSAG), **162** [792]
Material safety data sheets, **115–16** [325a–c]
Maternal and child health, **143** [403]
Measurements. *See* Calibration records; Charts and graphs; *specific subjects*
Medical care. *See also* Public health
committee records, **130** [367]
procedures and protocols, **128** [356]
Medical records
alcohol or substance abuse, **119-20** [746]
films, **133–34** [383]
government employees, **117–18** [330, 910]
hospital patients, **132–33** [379]
out-patients, **133** [381]
Medical rehabilitation, **142** [402]
Medical reports
Americans with Disabilities Act, **157** [785]
civil service examinations, **124** [339f–h]
insurance, **99** [246]
mental development recreational programs, **194** [513]
Medical screening, **143** [406], **144–45** [409]. *See also* Mammograms
Medical waste disposal, public health facilities, **131** [375]
Medicare and Medicaid
public health facilities, **129** [363–64]
Medications. *See* Pharmaceuticals
Meeting files, **1–2** [3]
Membership, local development corporation, **104** [273]
Memoranda, **6** [18]. *See also specific areas and programs*
Memorandum of understanding, soil and water conservation district, **198** [515]
Mental health, **134–35** [757, 386]. *See also* Counseling; Public health
Mental retardation recreational programs, **194** [512–13]
Menus. *See also* Dietary services
camp food management, **195** [852]
public health facilities, **130** [367]
Metadata, data processing, **53–54** [648]
Meters, gas and electric, **51** [161–62]
Microfilmed records, **x, xv**
Middle States Association of Colleges and Secondary Schools, accreditation, **23** [53]
Military service
civil service, **122** [336]
Mine Safety and Health Administration (MSHA)
reports and data, **160–61** [791]
Mines, **160–61** [791]
Minority-owned and women-owned businesses, **106** [282]
Minutes. *See also specific subjects*
official, **1** [1]
verbatim, **1** [2]
Miscellaneous records, **107** [735]
Missing persons, **176–77** [460, 813], **188** [470]
Model resolution, **xii, xx**
"Most wanted" posters, **190** [835]
Motor vehicles. *See also* Public property; Public transportation
car pooling, **219** [874]
driver examinations, **183** [818]
driving record, **182–83** [484]
emergency equipment, **166–67** [800]
government employees, **118–20** [742, 744–46]
highway accidents, **210–11** [864]
impounded or repossessed, **183** [486, 488]
insurance reports, **99** [246]
inventories, **151** [421]
recreational programs, **194** [844]
vehicle history, **182** [483]
MR & DD. *See* Mental retardation recreational programs
"Mug shots", **178** [461c]
Municipal lighting, **50** [157]
Museums, **109** [284–85]
Mutual aid, fire fighting, **173** [447]

Natural resources
inventories, **80** [195]
management plan, **80** [197]
Network services
circuits installation and inventories, **60–61** [678–79]
implementation plans, **61** [682]
internet logs, **61** [683–84]
network usage, **61** [680–81]
site visits, **60** [677]
support services, **60** [677]
New York City records, **xii**
New York State Civil Service Commission, approvals, **124** [753]
New York State Department of Environmental Conservation
discharge monitoring, **76** [708d]
hazardous materials contact number, **77** [191c Note]
pesticides and herbicides reports, **156** [777]
wastewater discharge reports, **74** [703d]

New York State Department of Health
emergency medical reports, **172** [811c]
public water supply reports, **70** [188c, 697]
radiologic equipment approvals, **140** [177]
New York State Department of Taxation and Finance, sales taxes, **89** [212]
New York State Department of Transportation
certification, **218** [565]
reports, **205** [861b Note], **211** [550]
New York State Division of Human Rights, complaints, **98** [244]
New York State Education Department
educational opportunity center approvals, **42** [618]
registration records, community college, **24** [56]
New York State Employees' Retirement System payroll reports, **92** [305]
New York State Office of Attorney General, charitable funds collection reports, **104** [732]
New York State Office of Parks, Recreation and Historic Preservation applications, **96** [726]
New York State Office of Real Property Services equalization rates, **200** [525]
New York State Office of the State Comptroller, contact information, **84** [Note]
constitutional tax margin, **202** [535]
New York State Police. *See* Law enforcement; NYSPIN
New York State Racing and Wagering Board. *See* Off-track betting
New York State Temporary Commission on Lobbying, **107-08** [738]
Newsletters, **3–4** [11]. *See also specific subjects*
Noise level monitoring, **105** [277]
Nominations, **47** [146]
small business elections, **104** [272]
Non-emergency response, **163** [794]
Notices
elections, **47** [143]
real property sale, **147** [414]
Notices of claim, **12** [41], **87** [233]
Notices of encumbrance, **88** [206]
Notices of estoppel, proof of publication, **84–85** [224]
Nursing
original entry records, **133** [382]
public health facilities, **130** [372]
NYSPIN, **190–91** [835–42]

OAR-S30 form, **92** [304]
Oath of office
election officials, **47** [142]
government employees, **117** [328]
Occupational illnesses and injuries, **115–16** [325], **117–18** [329, 741, 330]
Off-track betting, **110–11b** [286–90, 740, 908-09]
Offices. *See also under* New York State
Official signatures
government employees, **117** [328]
Old records, pre-1910, **ix–x**
Ombudsman records, **105** [276]
Omitted records, **xi**
Operating rooms, original entry records, **133** [382]
Opinion surveys, **5** [15]
Orders, claims payments, **87** [234]
Orders of protection, **189** [833]
Ordinances, **2** [5]
Organ donation, **145–46** [767–68]
Organization chart, **113** [315]
Organizational structure
cultural parks, **96** [725]
Outpatients, medical records, **133** [381]
Overtime, **86** [52], **91** [297]

Packing slips, **94** [501]
Parental consent
community college, **33e** [71]
immunizations, **144** [407]
recreational activities, **192** [508]
Parking facilities
handicapped parking, **214** [562]
use, **214** [561]
Parks. *See also* Recreational programs
management plan, **96** [725]
Parolees, **187** [468]
Past due accounts, **88** [207]
Pathology. *See* Laboratory records
Patient care. *See also* Medical records; Public health
case records, **132–33** [379–82], **134** [385]
census, **130** [371]
conferences, **130** [367], **134** [384]
emergency medical service, **170** [808]
films, **133–34** [383]
general, **132** [358, 756, 376–77], **135** [758]
medical reports and studies, **135** [758]
mental health, **134–35** [757, 386]
original entry records, **133** [382]
screening, **132** [378]
Patron registration, library materials, **102** [262]
Pawn shops, **180** [469]
Payment recoupment, **89** [719]
Payroll, **90–93** [291–309, 722–23]
public works projects, **158** [789]
Payroll report, civil service, **120** [748]
PERB fact-finding reports, **114-15** [321]
Permits. *See also* Approvals; Certificates and certification; Licensing
alarms, **167** [801a]
building, **13** [586]
camps, **194** [846]
certificates of occupancy, **16–17** [593]
controlled burns, **175** [812]
environmental facilities, **66** [181]
handicapped parking, **214** [562]

highways and bridges, **210–11** [864], **213** [556–57]
mines, **160–61** [791]
non-structural building modifications, **16-17** [593c]
pool and beach operation, **156** [780]
project reviews, **108** [739]
recreational facilities, **192** [507]
solid waste management, **66** [181]
utilities, **49** [151]
wastewater treatment, **72–73** [701–702]
water supply, **69** [187], **158** [790a]
Personal property
law enforcement records, **180** [462]
prisoners, **184** [475]
public health patients, **129** [365]
Personnel deployment, **149–50** [769]
Personnel records. *See also* Civil service; Comprehensive Employment and Training Act; Training
alcohol or drug testing, **118–20** [744–46]
contract negotiations, **114–15** [321]
disciplinary records, **112** [311]
education and training, **113** [314], **120** [747]
employee attestations, **118** [743]
employee benefits, **114** [318–19]
employee injuries, **117–18** [329–30]
employment eligibility verification, **120** [911]
equal employment opportunity, **113** [317]
general administrative, **112** [310], **112** [312], **113** [315], **118** [278]
grievances and job actions, **115** [322–23]
identification cards, **113** [316]
medical records, **117–18** [330, 910]
motor vehicle operation, **118** [742], **118–20** [744–45, 747]
oaths and signatures, **117** [328]
rosters, **116–17** [327]
surety bonds, **116** [326]
workplace safety, **115–16** [324–25], **117-18** [329–30]
Pesticides and herbicides, **156** [775–79]
aquatic weed control, **154–55** [771]
Petitions, **5** [33]
elections, **47** [144, 146]
political subdivision, **105** [280]
zoning, **21–22** [577–78]
Petroleum
bulk storage, **154** [430]
spills, **63–64** [172, 170]
Pharmaceuticals, **145** [410–11]
storage and distribution, **145** [410–11]
Photocopying, **9** [582]
Photographs, **107** [736]. *See also* Architectural drawings; Maps
athletic programs, **193** [511]
building permits, **16–17** [593]
capital construction, **147–49** [415–17]
college event, **30** [69]
community development, **35a** [128k]
disasters, **40** [136]
E-911 development, **163–64** [796]
environmental facilities, **65–66** [693, 181]
highways and bridges, **207** [544a], **208** [546a–b], **209** [863], **211** [864f]
laboratory samples, **138** [395i]
law enforcement, **177–79** [461]
museum exhibits, **109** [284]
natural resources, **80** [195]
park exhibits, **97** [729]
planning reviews, **19–20** [344]
port facility, **125** [346]
real property acquisition, **147** [412]
right-of-way, **211** [547]
soil types, **199** [524]
special events, **193** [510]
urban cultural park programs, **97** [730]
walking tours, **96–97** [728]
watershed studies, **81** [715]
Physician's indexes. *See also* Communicable disease; Public health
public health, **130** [370]
Planning records
administrative, **6** [18]
buildings and property, **14** [588], **18–21** [340, 598, 341–45]
planning review case files, **19–21** [344–45]
urban, **13** [586 Note]
Plans
Americans with Disabilities Act compliance, **156–57** [783]
building permits, **21** [600 Note]
buildings, **19–21** [344–45]
capital construction, **148–49** [416–17]
economic development, **34** [128a]
environmental facilities, **65–66** [693, 181]
heritage area management plan, **96** [725]
highways and bridges, **208** [546a–c], **209** [863], **211** [864f]
information resources management, **52** [643]
mines, **160–61** [791]
natural resource management, **80** [197]
network implementation, **61** [682]
park exhibits, **97** [729]
port facility, **125** [346–47]
property acquisition, **35** [128d]
public health facilities, **129** [366]
public transportation, **215** [563]
recreational facilities, **192–93** [509]
solid waste management facility, **78** [710]
traffic reports and studies, **212** [552]
visitor centers, **96** [727]
zoning variances and permits, **21-22** [578]
Poisoning, **143** [403, 406]
Police. *See* Public safety

Policemen's Retirement System payroll reports, **92** [305]
Policies
camp food management, **195** [852]
data processing, **52** [644]
decisions and significant events, **3** [10a]
insurance, **99–100** [249–52]
minority- and women-owned business, **106** [282]
policy making, **3** [10a]
reports, **6-7**[23a]
toxic substances handling, **116** [325f]
Policies and standards manuals, **2–3** [9]
Political advertising, **48** [149]
Political subdivision, **105** [280]
Pollbooks, **46** [139]
Pools and beaches. *See also* Camps; Recreational programs
beach erosion, **81** [716]
camps, **194** [846], **195** [849]
laboratory test results, **140** [400]
permits, **156** [780], **194** [846]
reports, **156** [781], **195** [849]
Population survey, mines, **160-61** [791f]
Port facility, **125** [346–48]
Postal records, **8** [30]
Pre-1910 records, **ix–x**
Prescriptions, **145** [411]
Preservation, cultural parks, **96** [725]
Press clippings. *See also* Publicity
disasters, **40** [136]
Press releases, **3–4** [11]
Prisoners. *See* Correctional facilities; Inmate work crews
Private water supply, **63** [172]. *See also* Public water supply
government use, **158–59** [790]
Procedures manuals, **2–3** [9]
Proclamations, **2** [5]
Program files. *See also specific subjects*
Cooperative Extension, **36–37** [133]
cultural parks, **96** [725]
grants, **4** [13]
local government cable television, **9** [581c]
plans, **7** [24]
program materials, **3-4** [11]
public access television, **8** [581a]
urban cultural parks, **97** [730]
Project reviews, **108** [739]
Proof of publication, **2** [8]
elections, **47** [143]
Property acquisition, **35** [128d–e]. *See also* Appraisal; Eminent domain; Real property
community development, **34** [126]
cultural parks, **96** [725]
environmental health, **63** [171]
relocations, **35** [128b]
Property damage. *See also* Insurance
disasters, **40** [136]
reports, **8** [32]
Property inventories, **151** [421]
Prospectus, bonds and notes, **84–85** [224]
Protocols, laboratory testing, **137** [393]
Psychiatric testing, **135** [386b]
Public access television, **8–9** [581]
Public access to records, **xvi–xvii, 10** [34 Note], **126** [349–52]
Public benefit corporations
records not covered, **xi**
statewide functions, **x**
Public buildings
fire safety inspections, **15** [591b]
maintenance and inspection, **15** [590a]
Public facilities
Americans with Disabilities Act, **156–57** [783–86]
lead and copper remediation, **155-56** [774]
use records, **151** [419]
Public health. *See also* Counseling; Laboratory records; Medical records
camps, **195** [848–51]
census of patients, **130** [371]
certification and licensing, **128** [356]
facilities, **129–30** [366–68]
fiscal records, **129** [361–65]
general, **128** [356–57, 359–60, 754]
hazard reports, **65** [692]
hospital stays, **130–31** [373]
infection control, **131** [375]
medical waste, **131** [755]
patient activities, **130** [369]
patients (*See* Patient care)
quality assurance, **131** [374]
radiology, **140–42** [177–78, 762, 179–80, 763]
Public hearings, **1** [1]
audits, **83** [216]
budget, **85** [46]
eminent domain, **211** [548]
employee grievances, **115** [323]
employees' disciplinary actions, **112** [311]
recordings, **8–9** [581]
zoning, **21–22** [577–78]
Public libraries, **x, 101–102** [254–62]
Public meetings
recordings, **1** [2a]
televised records, **8** [581a]
Public property. *See also* Capital construction; Maintenance and repair; Motor vehicles; Public facilities; Real property; *specific subjects*
fuels, **153** [427], **154** [430]
inventories, **151** [421–22]
maintenance and repair, **151–52** [424]
sale or discard, **151** [423]
vehicle use, **152–53** [426]
Public safety. *See also* Computer-aided dispatch; E-911; Emergency medical services; Fire fighting and prevention; Law enforcement

accreditation, **166** [471]
alarms, **167–68** [801]
emergency equipment, **166–67** [800]
hazardous materials, **169–70** [805]
real property, **168–69** [803]
reference files, **170** [807]
standard operating procedures, **170** [806]
training, **167** [435]
Public transportation
alarms and emergencies, **217** [869]
commuter traffic, **218–19** [873–74]
environmental conditions, **215–16** [867]
incidents, **216** [867c Note]
maps and schedules, **215** [563]
operations, **215–17** [867, 564, 868], **218** [565]
plans, **215** [563]
predecessor company records, **219–20** [876]
safety, **217** [871]
special bus transportation, **219** [875]
special funded programs, **218** [872]
Public water supply. *See also* Environmental health
construction and improvement, **65–66** [693]
emergency plans, **72** [700]
hydrological monitoring, **70–72** [697, 189, 698–99]
laboratory test results, **140** [400]
lead and copper content, **155-56** [774]
permits and approvals, **66** [181], **69** [187]
reports, **69–71** [188, 697, 189], **72** [699]
testing, **70–71** [697, 189]
Publications, **3–4** [11]. *See also specific subjects and types*
computer system print files, **57–58** [664]
museum exhibits, **109** [284]
solid waste management, **79** [711]
special projects, **4** [12]
substance abuse training, **120** [747]
television viewer guide, **9** [581b]
training courses, **9** [584]
walking tours, **96–97** [728]
Publicity
airports and airlines, **204** [538]
educational opportunity centers, **42** [621]
park exhibits, **97** [729]
port facility, **125** [348]
urban cultural park programs, **97** [730]
Purchasing, **93-94** [496, 498–502, 504–505, 724, 905]
library materials, **101** [259]
Purpose of schedule, **vii**

Quality assurance, public health, **131** [374]
Quality control
laboratory equipment and procedures, **137** [392]
radiologic equipment, **141** [179]
Queries, **14** [588b Note]. *See also* Data files; *specific subjects*
Questionnaires. *See specific subjects*

Rabies, **63** [168]
Radar, speed enforcement, **182** [485]
Radiation use
educational opportunity centers, **45** [640]
Radio licensing, **153–54** [429]
Radiologic health
equipment and materials, **140** [177], **141** [179]
exposure, **140** [177], **141** [762], **141–42** [180],
program safety, **142** [763]
theft or radiation release, **141–42** [180]
Railways. *See* Highways and bridges
"Rap sheets", **178** [461f]
Real property, **13** [Notes]. *See also* Appraisal; Property Acquisition; Public property; Valuation and assessment
acquisition, **147** [412–14]
building permit data, **21** [600 Note]
eminent domain, **211** [548]
highways and bridges, **211** [547–48]
housing rehabilitation, **35** [128c]
public safety, **168–69** [803]
taxation, **202** [532]
transfers, **202** [859]
visitor centers, **96** [727]
Realty subdivisions, applications, **63** [172]
Receipts and disbursements, **88-89** [204–205, 208–209, 237]. *See also* Fiscal records; *specific subjects*
taxes, **201** [529a]
travel expenses, **95** [243]
Record of Taxable Status, **200** [527]
Recordings, **1** [2]. *See also* Audio data; Videotapes
Records
appraisal and disposition, **viii–ix**, **xviii**, **10** [34]
retrieval requests, **11** [40]
transfer lists, **10** [36]
Records not found in schedule, **xi**
Recreational programs. *See also* Camps
applications, **194** [845]
parental consent, **192** [508]
participation, **192** [506]
permits, **192** [507]
planning and development, **192–93** [509]
programs, **193** [510–11, 843]
vehicle use, **194** [844]
Recruitment, civil service, **123** [750]
Recycling. *See* Solid waste management
Referendum records, **47** [144]
Referrals
cytogenetic laboratory tests, **136** [760]
minority and women-owned business, **106** [282]
public health facilities, **128** [754]
Regional market authority, **197** [514]
Regional planning agencies, **x**
Registers. *See* Lists and registers

Registration, library patrons, **102** [262]
Regulations, **2** [5]
Rehabilitation Act of 1973 compliance, **156-57** [783-86]
Reimbursement claims, **86** [231]
Release of contract or agreement, **2** [6]
Relocation
  businesses and residents, **35** [128b]
  tenants, **34** [126]
Rent collection
  community development, **35** [128d Note]
  property acquisition, **35** [128d]
  relocations, **35** [128b]
Rental assistance, **35a** [279]
  housing rehabilitation, **35** [128c]
Rentals
  marinas, **192** [507c]
Reorganization of governments, **105** [280]
Repair. *See* Maintenance and repair
Reports. *See also* Data files; Fiscal records; *specific subjects*
  annual, **6–7** [23]
  internal, **6** [18]
  periodic, **6** [22]
Repossessed vehicles. *See* Motor vehicles
Requests. *See also* Freedom of Information Law
  building and property information, **14** [588]
  conservation assistance, **198** [518]
  donation of sick and vacation leave, **91** [297]
  laboratory tests, **136** [389]
  overtime, **91** [297]
  public property use, **153** [428]
  services, **5** [33], **18** [597 Note]
Rescue and disasters, emergency medical services, **171-72** [810]
Research value of records, **viii–ix**
  urban planning, **16** [592 Note]
Resolutions, **2** [5]
Retirement
  electric and gas utilities, **49** [152]
  payroll, **90–91** [291–92, Note]
  pension system reports, **92** [305]
  salary verification, **90-91** [291]
Retirement system, employee declaration of intention, **93** [723]
Revenue sharing, claims, **86** [231]
Reviews
  administrative, **6** [18]
  discretionary planning reviews, **20–21** [345]
  mandatory planning reviews, **19–20** [344]
Revised items, **xiii**
Right-of-way, highways and bridges, **211** [547]. See also Eminent domain
River flow data, **50** [156e]
Routing slips, **6** [18]
Rural Public Transportation Assistance, **218** [872]
Safety. *See also* Fire fighting and prevention; Inspections
  highways and bridges, **210–11** [864]
  public transportation, **217** [871]
Salary schedules, contract negotiations, **114-15** [321]
Salary verification. *See* Payroll
Sale agreements. *See* Property acquisition
Sales tax, **89** [212]
Sanitary code violations, **64** [173]
Sanitary surveys, **69–70** [188]
  wastewater treatment, **73–74** [703]
SAP. *See* Substance Abuse Professional's records
SBA. *See* Small Business Administration
SCADA. *See* Supply Control and Data Acquisition
Schedules. *See also specific subjects or types*
  airports, **205** [861]
  college classes, **29** [109]
  internal administrative, **6** [20]
  maintenance and repair, **149–50** [769]
  office and travel, **6** [18]
  public transportation, **215** [563]
Schematic drawings
  capital construction, **148** [416c]
  highways and bridges, **209** [863]
Scholarships
  athletic, **26** [67]
  camps, **196** [854]
  community colleges, **33d-33e** [125]
Schools
  districts, **x**
  fire safety inspections, **15** [591b]
  health service, **143** [403]
  maintenance and inspection, **15** [590a]
Screening. *See also* Patient care
  long-term care facilities, **132** [378]
  public health facilities, **128** [360]
Securities. *See* Bonds, notes and securities
Security
  airports, **203–204** [536–37, 538d]
  buildings, **150–51** [418]
  videotapes, **157-58** [787]
Self-insurance. *See* Insurance
Self-liquidating indebtedness, **85** [717]
Senior services, bus transportation, **219** [875]
Sensor data
  environmental conditions, **159–60** [878]
  environmental facilities, **67** [694a]
  public water supply, **71–72** [698]
Septic tank cleaners
  permits, **73** [701b]
  reports, **74** [703e]
Service requests, **5** [33]
  repairs and maintenance, **5–6** [16]
Sewage disposal, private systems, **63** [172]
Sewer. *See* Wastewater treatment
Sex offenders, **187–88** [468, 830–31]
Sexually transmitted disease, **134** [385d]
Sheriff ID, **180** [465]

Sidewalk condition reports, **211–12** [551]
Signature cards, **2** [7]
Signature verifications, elections, **47** [144]
Site plans, **13** [586], **19–20** [344]
real property acquisition, **147** [412]
Site visits
automation support services, **59–60** [674]
network services, **60** [677]
Sketches, **107** [736]. *See also* Architectural drawings
buildings, **16-17** [593], **19–21** [344–45]
community development, **35a** [128k]
environmental facilities, **66** [183]
museum exhibits, **109** [284]
park exhibits, **97** [729]
Slides, **107** [736]
laboratory testing, **138** [395]
museum exhibits, **109** [284]
park exhibits, **97** [729]
Sludge and biosolids, **74** [704]
Small Business Administration
certification, **103** [268]
financial reports, **103** [269]
local development, **103** [265]
Snow removal, **207** [542]
Social Security
certification, community college, **33b** [121b]
changes, **43** [628]
employee declaration of intent, **92** [302]
payroll, **90–91** [291–92, Note]
salary verification, **90-91** [291]
wage reports, **92** [303]
Software, **166** [Note]. *See also* Computer operations; Data files; Data processing; Network services
Software development, **53** [646]
Soil and water conservation districts, **x, 198–99** [515–24, 855–58]
Soils. *See also* Agriculture
testing, **38–39** [613]
types, **199** [523–24, 857]
Solid waste management. *See also* Environmental facilities
permits, **66** [181]
recycling, **77** [191], **78** [193–94]
research and demonstration projects, **79** [711]
self-inspection records, **79** [712]
Solid waste management facilities
byproduct disposal, **78** [709]
construction and improvement, **65–66** [693]
hazardous waste collection, **76–77** [190]
load delivery records, **76–77** [190–91]
local plans, **78** [710]
permits, **75** [707]
proof of insurance, **77–78** [192]
reports, **75–76** [708]
Sonograms, **133–34** [383]
SPARCS. *See* Statewide Planning and Research Cooperative System
SPDES. *See* State Pollutant Discharge Elimination System
Special events, **193** [510]
Special projects publications, **4** [12]
Special Transportation Services for the Transportation Disabled, **218** [872]
Special use permits, **21** [599], **21–22** [578]
Specifications
capital construction, **147–48** [415]
construction, **20** [344d]
economic development, **34** [128a]
electric and gas production and transmission, **49** [152]
environmental facilities, **65–66** [693, 181]
highways and bridges, **207** [544a–b], **211** [864f]
housing rehabilitation, **35** [128c]
port facility, **125** [346]
property acquisition, **35** [128d]
public health facilities, **129** [366]
public property, **152** [425]
purchasing, **94** [498]
software development, **53** [646]
zoning, **22** [578c]
Speed enforcement
motor vehicles, **182** [485]
timing, **182** [485]
Spillage
airport fuels and chemicals, **206** [862]
petroleum storage, **154** [430]
Sports programs. *See* Athletics
Standing order files, **94** [505]
State aid, **86** [231]
State Archives contact information, **xx**
State Comptroller's Office. *See* New York State Office of the State Comptroller
State Pollutant Discharge Elimination System (SPDES), **73** [702a], **74** [703d], **76** [708d]
State Sanitary Code, lead and copper levels, **155-56** [774]
State University of New York (SUNY)
college curriculum approvals, **24** [56]
educational opportunity centers, **42** [618], **44** [639]
fiscal reports, **29** [87]
Statement of canvass, **46** [140d]
Statewide Planning and Research Cooperative System (SPARCS)
public health data, **130–31** [373]
Statistics
alcohol and drug testing, **119** [744c–d]
educational opportunity center approvals, **42** [620]
noise level monitoring, **105** [277]
periodic activity, **6** [22]
public health facilities, **129** [364]
water supply, **158-59** [790]
Stenographer's notebook, **1** [2]
Stenotypes, **1** [2]
Storm damage, **81** [716]

*(Storm damage, cont'd)*
service interruption and repair, **51** [159]
Streets and addresses, **162** [792]. *See also* Geographic Information System
data files, **13–14** [587]
E-911 development, **163–64** [796]
Strikes, employees, **115** [322]
Students. *See also* Community colleges; Educational opportunity centers; Program files; Training
disabled, **28** [79, 81]
financial accounts, **28-29** [86]
grievances, **33e** [117]
loan status, **124** [752]
student folders, **33b** [121]
Subdivisions, planning, **19–20** [344]
Subject files. *See also specific subjects*
legal cases, **12** [45]
supporting documentation, **3** [10]
Subpoenas, **12** [880], **186–87** [459]
Substance abuse. *See* Alcohol and substance abuse
Substance Abuse Professional's records, **119** [745]
Subways. *See* Public transportation
Suicides, **176–77** [460], **184** [475]
Summons, **186–87** [459]
SUNY. *See* State University of New York
Superseded schedules, **vii**
Supply Control and Data Acquisition (SCADA)
environmental facilities, **66–67** [694], **68** [695]
public transportation, **215–16** [867]
Support services
network services, **60** [677]
software acquisition and review, **60** [676]
user and office automation, **59–60** [674]
Surety bonds, **116** [326]
Surveys
fire safety, **174** [449]
fisheries, **80** [714a]
gifts and bequests, **106–107** [283]
hazardous waste sites, **64–65** [691]
highways and bridges, **211** [864f]
insurance, **100** [253]
mine employees, **160-61** [791f]
museum visitors, **109** [284]
natural resources, **80** [195]
park exhibits, **97** [729]
political subdivision, **105** [280]
public health facilities, **128** [357]
radiologic equipment, **141** [179]
traffic reports and studies, **212** [552]
Syphilis
laboratory reports, **139** [399a–b]
treatment, **134** [385d]
Systems. *See* Computer operations; Data files; Data processing; Network services

Tape libraries, **58** [669], **59** [671]
Tape recordings, emergency dispatch, **165–66** [433]
Tax maps, **200** [526]
Tax parcels, **13–14** [587]
Taxes. *See also* Payroll
apportionment, **202** [533]
exemptions and abatement, **37** [601], **41** [137–38], **89** [213], **103** [263–65], **104** [274]
federal and state tax documents, **92–93** [304, 306–309]
general accounting, **89** [212–13]
increase limits, proof of publication, **2** [8a]
listings, **202** [532]
local development corporation, **104** [732]
off-track betting, **110** [289]
rate determination, **202** [535]
real property transfers, **202** [859]
sales tax, **89** [212]
tax collection, **201** [529–31]
tax roll, **200–201** [527–28]
tax searches, **202** [534]
taxes due, **201** [530]
valuation and assessment, **200** [525–26]
TDM. *See* Transportation Demand Management
Technical memoranda, project planning, **19** [341]
Telephone logs, **7** [28]
Cooperative Extension, **36–37** [133]
public health facilities, **128** [754]
Telephone numbers, **162** [792], **163** [795]
Telephone utility address records, **162** [793]
Television records, public access, **8–9** [581]
Temperature charts, original entry records, **133** [382]
Tenant relocation, **34** [126]
community development, **35** [128d Note]
property acquisition, **35** [128d]
Tenants
advisory services, **105** [276]
port facility, **125** [348]
Termination records
civil service employment, **123** [750]
educational opportunity centers, **42** [620], **43** [628], **44** [631]
government employment, **112** [310–11]
Testing. *See also* Laboratory records
alcohol and substance abuse, **187** [472]
energy efficiency, **62** [685]
water quality, **65** [692]
water supply, **158-59** [790]
Theft
radioactive materials, **141–42** [180]
reports, **8** [32]
Thruway Authority, **x**
Tickets
parking lots and garages, **214** [561c]
produce delivery, **197** [514]
public transportation, **216** [564]
recreational programs, **192** [506]
toll roads and bridges, **220** [566–67]
traffic, **182** [481]
wagering, **110** [287, 289, 740]

Time cards, sheets and books, **91** [295], **112** [312]
Tissue donation, **145–46** [767–68]
Title insurance, **100** [251]
Toll collection, **88** [204]
Tow records, impounded vehicles, **183** [486, 489]
Toxic substances
  exposure, **115–16** [325]
  training, **116** [325d–e]
Toxicology
  data file, **136** [759b]
  laboratory tests, **136** [390a]
  test results, **139–40** [761]
Tracings. *See also* Architectural drawings; Blueprints; Sketches
  capital construction, **148–49** [416–17]
Traffic. *See also* Highways and bridges
  commuter traffic reduction, **218–19** [873]
  infractions, **182** [481]
  reports and studies, **212** [552]
  signs and signals, **212–13** [552–53]
  toll roads and bridges, **220** [568]
Training. *See also* Comprehensive Employment and Training Act; Manpower Development and Training Act
  commercial pesticides and herbicides applicators, **156** [779]
  course records, **9** [584–85]
  election officials, **47** [145]
  emergency medical services, **171** [441, 809]
  government employees, **113** [314]
  motor vehicle alcohol or substance abuse, **120** [747]
  public safety, **167** [435]
  toxic substances, **116** [325d–e]
Transcripts
  community college admissions, **33a** [60]
  educational opportunity centers, **43** [628b]
  student requests, community college, **33b** [121e]
Transformers, **50** [154]
Transplantation
  organs and tissue donation, **145–46** [767–68]
Transportation. *See* Airports; Highways and bridges; Public transportation
Transportation Demand Management (TDM), **218–19** [873]
Travel expenses, **95** [243]
Triage, original entry records, **133** [382]
Trolleys, **219–20** [876]
Trust funds, gifts and bequests, **106–107** [283]
Tuberculosis, **144** [766]
  cattle testing, **38** [608a]
Turnpike companies, **219–20** [876]
Typhoid carriers, **134** [385c]

U.S. Department of Housing and Urban Development
  community development applications, **34** [127]
Underground facilities, **158** [788]
Unemployment insurance, **114** [319]
Uniform Crime Reports, **176** [466c]
Urban cultural park, **96–97** [725–30]
Urban renewal, **34–35a** [126–28, 279, 903-04]
Use of schedule, **vii, xii–xvii**
User guides and manuals, data processing, **53** [647]
Utica Transit Authority, records disposition, **xi**
Utilities, electric and gas, **49–51** [151–62]
Utility poles, **50** [154]
Utilization review, public health patients, **132** [377]

Vacancies
  civil service, **122** [334–35]
  government employment, **118** [278]
Vacation, **112** [312]. *See also* Personnel records
Vaccine distribution, **144** [408]. *See also* Immunization
Valuation and assessment, **200** [525–26]
  assessor's records, **13–14** [587]
  tax roll, **200-01** [527–28]
Vandalism reports, **8** [32]
Variances, public water supply, **69** [187]
Vehicles. *See* Motor vehicles
Vendors
  claim vouchers, **86** [229]
  financial and political interest disclosures, **105-06** [733]
  maintenance and repair, **150** [769f]
  public health facilities, **129** [363]
  purchasing files, **94** [499]
Vendors files, data processing, **52** [645]
VESID. *See* Vocational and Educational Services for Individuals With Disabilities
Veteran's benefits
  application, community college, **33b** [121d]
  educational opportunity centers, **43** [628]
Veterans,
  civil service examinations, **123** [751e]
  special bus transportation, **219** [875]
Victims, personal information, **179** [814]
Video lottery gaming, **111-11b** [909]
Videotapes, **1** [2], **8** [581a]
  airport security, **204** [537c]
  law enforcement, **189** [832, 834]
  public access television, **8** [581a]
  recreational programs, **193** [510–11]
  solid waste management, **79** [711]
  special projects, **4** [12]
  substance abuse training, **120** [747]
Viewer guides, **9** [581b]
Violations. *See also* Inspections
  alcohol or substance abuse, **119-20** [746]
  alcohol sales, **187** [467]
  buildings, **15** [589–90], **18** [597]
  fire safety, **15** [591]
  job actions, **115** [322]
  motor vehicles, **182** [481]

*(Violations, cont'd)*
sanitary code, **64** [173]
water quality, **70** [188d]
Visitor centers, **96** [727]
proposals, **96** [727]
Visitors
airport security, **204** [537c]
museum exhibits, **109** [284]
park exhibits, **97** [729]
prisons, **184** [476], **185** [822]
Vital records, **xvi, 142** [401]
Vocational and Educational Services for Individuals With Disabilities (VESID)
educational opportunity centers, **44** [638]
Voice conversations, **1** [2]. *See also* Audio data
Voided checks, **83-84** [218]
Volunteer Firefighter Service Awards, **174** [454], **175** [457]
Volunteer firefighters. *See* Fire fighting and prevention
Volunteer Firefighters Benefit Law cases, **99** [247]
Volunteer Firefighters Insurance Service (VFIS), census of firefighters, **174** [455]
Volunteers, public safety reference files, **170** [807]
Voter action, political subdivision, **105** [280]
Voter registration, **46** [139], **48** [641]
Vouchers
capital construction, **147–48** [415]
environmental facilities, **65–66** [693]

W-4 forms. *See* Taxes, federal and state documents
Wagering. *See also* Off-track betting
reports, **111** [290]
Walking tours, **96–97** [728]
Warranties and guarantees, **94** [500], **152** [425]
Warrants and subpoenas, **186–87** [459]
Wastewater treatment, **72–75** [701–706]
Wastewater treatment plants. *See also* Environmental facilities
construction and improvement, **65–66** [693]
permits, **66** [181]
Water conservation. *See* Conservation
Water quality
solid waste management facilities, **75–76** [708]
violations, **65** [692], **70** [188d]
Water supply, used by local government, **158-59** [790]
Water testing. *See also* Public water supply
camps, **195** [849]
lead and copper content, **155-56** [774]
Water treatment plants. *See also* Environmental facilities
permits, **66** [181]
Watershed
farm management, **199** [858]
reports, **69–70** [188]
rules violations, **65** [692]
studies, **81** [715]
Weapons. *See* Firearms
Weather conditions, **207** [542]
Weatherization, **62** [685]
clients, **62** [686, 688]
referrals, **62** [689]
state assistance plans, **62** [687]
Web pages, publications about, **3–4** [11b]
Website, official file, **3–4** [11]
Weed control, **154–55** [771]
Weigh scales, regional market authority, **197** [514]
Wetlands. *See* Environmental management
Wiring schematics, network implementation, **61** [682]
Witnesses, personal information, **179** [814]
Women-owned businesses, **106** [282]
Work crew, inmate **156** [782]
Work Force Investment Act programs, **127** [353–55]
Work orders, **5–6** [16]
electric and gas utilities, **49** [152]
environmental facilities, **65–66** [693]
Work stoppage, **115** [322]
Workers' compensation, **99** [247–48]
Working documents, **7** [26]
Worksheets
park exhibits, **97** [729]

X-ray films, **133–34** [383]

Youth employment programs, **127** [353–55]
Youth services, **221** [572–75, 877]

Zoning, **21–22** [599, 576, 600, 577–80]
maps, **21** [576]
petitions, hearings, and changes, **21–22** [577–79]
planning reviews, **19–21** [344–45]
variances and permits, **21–22** [599, 600, 578]
violations, **22** [580]